

**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)

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# Chapter 1

## Notices

### 1.1 Notices

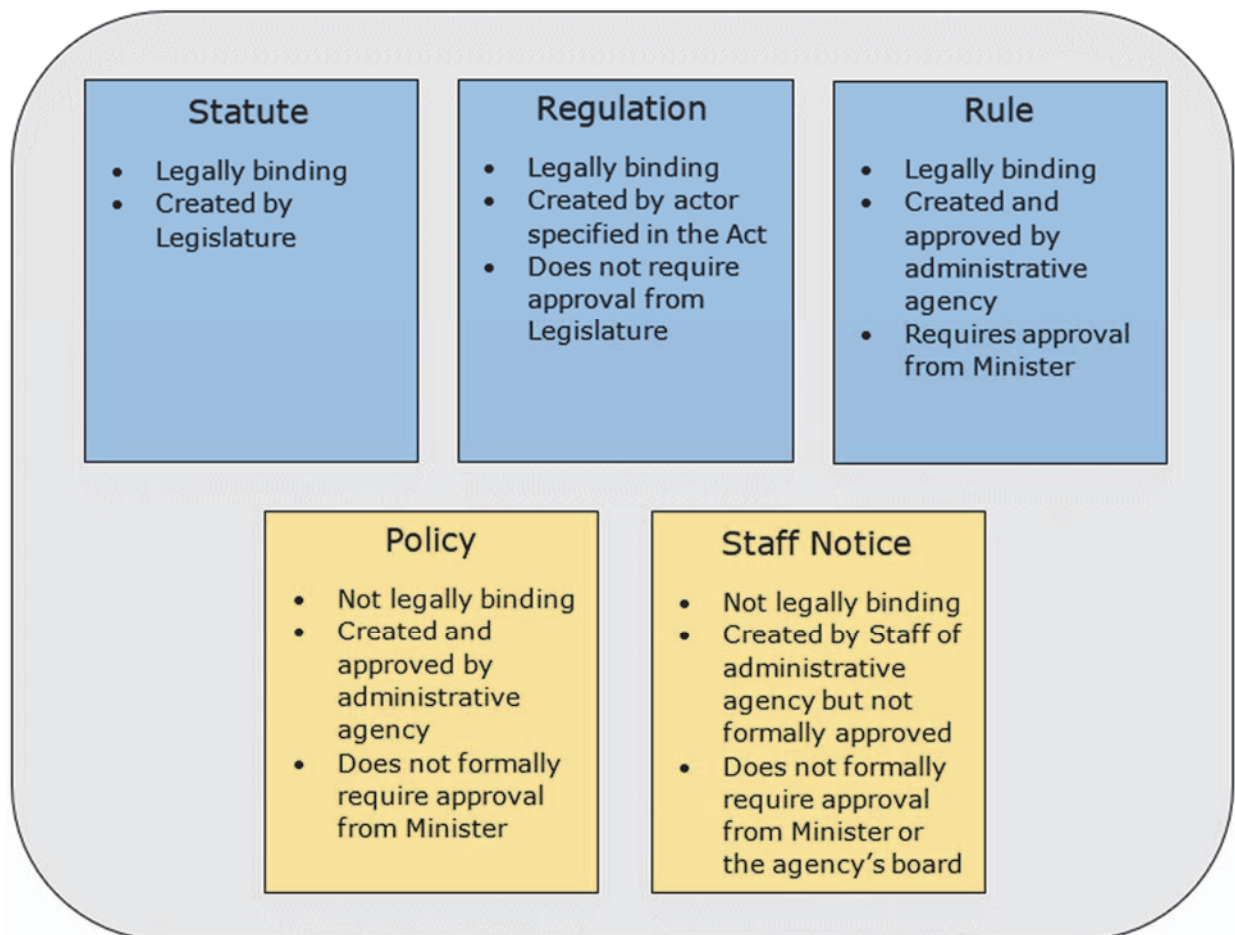
#### 1.1.1 OSC Staff Notice 11-793 Hierarchy of Regulatory Instruments in Securities Law

##### OSC STAFF NOTICE 11-793 HIERARCHY OF REGULATORY INSTRUMENTS IN SECURITIES LAW

In November 2018 the Ontario Securities Commission (the **Commission**) created a burden reduction task force to refocus our efforts on reducing unnecessary regulatory burden. Consultations were launched on January 14, 2019, with the publication of OSC Staff Notice 11-784 Burden Reduction.

During the public consultations, several market participants expressed a concern that the difference between rules, or legal requirements, and guidance is not always clear. This staff notice clarifies the differences between each regulatory instrument and serves as an informational resource for Commission regulatory staff and market participants.

Securities regulators deploy several different types of instruments to govern the conduct of regulated persons and entities. However, not all regulatory instruments have the same legal authority. As illustrated in the diagram below, statutes, regulations, and rules are all legally binding. The requirements set out in these instruments are mandatory and failure to comply may result in enforcement action. Conversely, guidance published by the Commission or staff of the Commission (**Staff**) is instructive in nature and is not legally binding.



## Statutes & Regulations

The Commission administers the *Securities Act* (Ontario) and its *General Regulation*, as well as the *Commodity Futures Act* (Ontario) and its *General Regulation*. These provincial statutes and regulations are legally binding.

### Statute

A statute or “Act” is a law passed by the provincial Legislature. The legislative process in Ontario generally requires:

- a first reading where a bill is introduced, and its purpose is explained;
- a second reading where members of the Legislature debate and vote on the bill;
- a committee examination of the bill clause-by-clause;
- a report to the House and order for a third reading;
- a third reading where members vote on whether the bill will be passed; and
- royal assent where the Lieutenant Governor signs the bill.

A bill’s provisions can come into force on royal assent, on a specified date, or on proclamation. Some bills are never proclaimed and therefore never become law.

### Regulation

A regulation is a law that is made by a person or body whose authority to make such law is set out in a statute. The authority to make regulations is typically provided to the Lieutenant Governor in Council. However, in some statutes, this authority is given to a Minister or to another government official or body.

Regulations are created by the Ontario government ministry that is responsible for administering the parent statute, and are passed by Order in Council. Approval from the Legislature is not required for the creation of a new regulation.

## Rules

The Legislature has given the Commission explicit authority to make rules in subject areas enumerated in the *Securities Act*.<sup>1</sup> Rules are drafted by the Commission, are often required to be published for public comment, and require Ministerial approval.<sup>2</sup>

Because securities regulation is provincial, rules are made under each province or territory’s *Securities Act* or equivalent. In the rare instance where only the Commission makes a rule, this is called a local rule.

More commonly, Canadian securities regulators harmonize rules. As a result, most rules appear as national instruments, which apply to all Canadian jurisdictions uniformly, subject to local carveouts. There are also multilateral instruments, which apply only in the subscribing jurisdictions. National instruments and multilateral instruments are essentially consolidations of local rules.

Before the Commission publishes for comment a new rule (or an amendment to an existing rule) dealing with a novel or complex issue, it may publish a consultation paper and request comments. This initial consultation enables the Commission to better understand the need for the new rule or amendment and the potential market impacts.

Following the consultation period, Staff drafts the proposed rule or amendment and the Commission publishes it for comment, unless an exception to the publication requirement applies.<sup>3</sup> In Ontario, the publication must include:

- the proposed rule;
- a statement of the substance and purpose of the proposed rule;
- a summary of the rule;
- a discussion of all alternatives to the proposed rule that were considered and reasons for not proposing their adoption;

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<sup>1</sup> *Securities Act*, RSO 1990, c S.5, s 143(1) [*Securities Act*]. Note, the *Commodity Futures Act* provides the Commission with similar rule-making authority and process requirements.

<sup>2</sup> *Securities Act*, ss 143.2-143.6.

<sup>3</sup> *Securities Act*, s 143.2(5).

- a qualitative and quantitative analysis of the anticipated costs and benefits of the rule; and
- a reference to the authority under which the rule is to be made.<sup>4</sup>

The public is provided at least 90 days to consider a proposed rule and to submit comments to the Commission. If the Commission makes material amendments to a proposed rule after the initial comment period, the Commission must republish the proposed rule for a second comment period.<sup>5</sup>

For a rule to come into force, the Commission must approve the rule in its final form and deliver it to the Minister of Finance for review.<sup>6</sup> Within 60 days after a rule is delivered to the Minister, the Minister may approve or reject the rule, or return it to the Commission for further consideration.<sup>7</sup> If the Minister does not approve, reject or return the rule, it becomes effective 15 days following the conclusion of the 60-day period unless there is a later effective date specified in the rule.<sup>8</sup> The Commission must publish every rule that comes into force in *The Ontario Gazette* and in its *Bulletin*.

### Guidance

The Commission produces two types of non-binding guidance: policies and staff notices. These are intended to be instructive and to provide regulated persons and entities with insight into how the requirements are applied.

Like rules, policies and staff notices may apply at the national or local level. National policies and companion policies to a national instrument apply to all Canadian jurisdictions. The Commission can issue local policies that apply only within Ontario.

Regulated persons and entities may also be guided by decisions of the OSC Tribunal, although these decisions are not formally binding on persons or entities who were not parties to the proceeding before the Tribunal.

### Policies

The *Securities Act* authorizes the Commission to adopt policies of a non-binding nature, including the Commission's interpretations of rules.<sup>9</sup> A policy is generally used to address issues that occur frequently or have a broad impact on market participants.

Unlike staff notices, policies must be approved by the Commission and must be published for comment. Publication is not required if the proposed policy would make no material substantive change to an existing policy.<sup>10</sup> Following the notice and comment process, if applicable, the Commission may adopt a proposed policy. While policies do not formally require Ministerial approval, the Commission may consult the Minister when a new policy is proposed.

Unlike rules, policies cannot be prohibitive or mandatory in character. Policies inform market participants of: (a) how the Commission may exercise its discretionary authority, (b) how the Commission interprets Ontario securities law, (c) the practices followed by the Commission in performing its duties under Ontario securities law, and (d) other matters that are not legislative in nature.<sup>11</sup> Policies are also used to communicate the Commission's views of what may be in the public interest regarding a given issue.<sup>12</sup>

### Staff Notices

Staff notices are documents issued by the Commission that communicate Staff's views and expectations of operational reviews, emerging issues and trends, and market participant conduct. Staff views are subject to change as Staff are confronted with different factual circumstances. Accordingly, views expressed in a staff notice do not necessarily represent the views of the Commission.

Staff notices are not approved by the Commission and need not be published for public comment. However, Staff notices are often discussed with the Commission and may incorporate feedback from Commissioners. Like policies, staff notices do not require Ministerial approval.

Staff notices generally describe: (a) factors relevant to the exercise of a discretion by Staff, (b) the manner in which statutes, regulations, rules or policies are interpreted by Staff, or (c) the practices generally followed by Staff in the performance of their responsibilities.

---

<sup>4</sup> *Securities Act*, s 143.2(2).

<sup>5</sup> *Securities Act*, s 143.2(7).

<sup>6</sup> *Securities Act*, s 143.3(1).

<sup>7</sup> *Securities Act*, s 143.3(3).

<sup>8</sup> *Securities Act*, s 143.4.

<sup>9</sup> *Securities Act*, s 143.8.

<sup>10</sup> *Securities Act*, s 143.8(6).

<sup>11</sup> *Securities Act*, s 143.8(1). Ontario Securities Commission Policy 11-601 is an example of a policy that addresses matters that are not legislative in nature. This local policy outlines organizational and procedural practices of the Securities Advisory Committee (a group of practicing securities lawyers who provide advice to the Commission and Staff).

<sup>12</sup> National Policy 62-202 is an example of how securities regulators communicate public interest considerations. This policy recognizes that, during a take-over bid, the interests of management may differ from those of shareholders of the target company and provides guidance on when defensive tactics may be subject to scrutiny by securities regulators.

## Notices

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The annual Corporate Finance Branch Report is an example of a staff notice that provides issuers with guidance on trends and issues identified during compliance reviews. Branch reports also articulate Staff's expectations and interpretation of regulatory requirements and outline the Branch's operational and policy work.

### Contact Information

If you have questions about this notice, please contact:

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rgalea@osc.gov.on.ca

Tegan Raco  
Legal Counsel  
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**1.1.2 Notice of Correction – Macquarie Capital Markets Canada Ltd.**

The incorrect file number was included in *Macquarie Capital Markets Canada Ltd.* published in the September 23, 2021 issue of the Bulletin at (2021), 44 OSCB 7885. The correct file number is: **OSC File #: 2021/0312.**

**1.4 Notices from the Office of the Secretary**

**1.4.1 The Mutual Fund Dealers Association and Omar Enrique Rojas Diaz (also known as Omar Rojas)**

**FOR IMMEDIATE RELEASE  
October 6, 2021**

**THE MUTUAL FUND DEALERS ASSOCIATION AND  
OMAR ENRIQUE ROJAS DIAZ  
(ALSO KNOWN AS OMAR ROJAS),  
File No. 2021-7**

**TORONTO** – The Commission issued its Reasons and Decision in the above named matter.

A copy of the Reasons and Decision dated October 5, 2021 is available at [www.osc.ca](http://www.osc.ca).

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[inquiries@osc.gov.on.ca](mailto:inquiries@osc.gov.on.ca)

**1.4.2 An Application by Wilks Brothers, LLC for the Review of a Decision by TSX Inc. relating to Calfrac Well Services Ltd.**

**FOR IMMEDIATE RELEASE  
October 7, 2021**

**AN APPLICATION BY  
WILKS BROTHERS, LLC  
FOR THE REVIEW OF A DECISION BY  
TSX INC.  
RELATING TO  
CALFRAC WELL SERVICES LTD.,  
File No. 2021-12**

**TORONTO** – The Commission issued its Reasons for Decision in the above named matter.

A copy of the Reasons for Decision dated October 6, 2021 is available at [www.osc.ca](http://www.osc.ca).

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[inquiries@osc.gov.on.ca](mailto:inquiries@osc.gov.on.ca)

**1.4.3 Daniel Sheehan**

**FOR IMMEDIATE RELEASE  
October 7, 2021**

**DANIEL SHEEHAN,  
File No. 2020-38**

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

Take notice that the hearing on the merits scheduled to be commence on October 8, 2021 at 10:00 a.m. will not proceed as scheduled.

A copy of the Order dated October 7, 2021 and Settlement Agreement dated October 4, 2021 are available at [www.osc.ca](http://www.osc.ca).

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**1.4.4 Trevor Rosborough**

**FOR IMMEDIATE RELEASE  
October 8, 2021**

**TREVOR ROSBOROUGH,  
File No. 2021-30**

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

A copy of the Order dated October 8, 2021 is available at [www.osc.ca](http://www.osc.ca).

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**1.4.5 Daniel Sheehan**

**FOR IMMEDIATE RELEASE  
October 12, 2021**

**DANIEL SHEEHAN,  
File No. 2020-38**

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

A copy of the Reasons for Approval of a Settlement dated October 12, 2021 is available at [www.osc.ca](http://www.osc.ca).

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## Chapter 2

# Decisions, Orders and Rulings

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### 2.1 Decisions

#### 2.1.1 GLMX Technologies, LLC – s. 15.1 of NI 21-101, s. 12.1 of NI 23-101, s. 10 of NI 23-103

##### Headnote

Application for relief under s. 15.1 of National Instrument 21-101 Marketplace Operation, s. 12.1 of National Instrument 23-101 Trading Rules, and s. 10 of National Instrument 23-103 Electronic Trading and Direct Access to Marketplaces – relief from the application of all provisions of the Marketplace Rules that apply to a person or company carrying on business as an alternative trading system in the Jurisdictions – relief granted subject to terms and conditions.

October 6, 2021

IN THE MATTER OF  
THE SECURITIES LEGISLATION OF  
BRITISH COLUMBIA,  
ALBERTA,  
NOVA SCOTIA,  
ONTARIO AND  
QUEBEC  
(the Jurisdictions)

AND

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

AND

IN THE MATTER OF  
GLMX TECHNOLOGIES, LLC  
(the Filer)

**DECISION**

(Section 15.1 of NI 21-101 and section 12.1 of NI 23-101 and section 10 of NI 23-103)

##### Background

The securities regulatory authority or regulator in each of the Jurisdictions (**Decision Maker**) has received an application (the **Application**) from the Filer for a decision under the securities legislation of the Jurisdictions (the **Legislation**) that the Filer be:

- (a) exempt pursuant to subsection 15.1 of National Instrument 21-101 *Marketplace Operation* (**NI 21-101**) from NI 21-101 in whole;
- (b) exempt pursuant to subsection 12.1 of National Instrument 23-101 *Trading Rules* (**NI 23-101**) from NI 23-101 in whole;
- (c) exempt pursuant to subsection 10(1) of National Instrument 23-103 *Electronic Trading and Direct Electronic Access to Marketplaces* (**NI 23-103**) from NI 23-103 in whole

(the relief mentioned in paragraphs (a) to (c) being collectively referred to herein as the **Exemptive Relief Sought**).

Under National Policy 11-203 *Process for Exemptive Relief Applications in Multiple Jurisdictions* (for a coordinated review application):

- (a) the Ontario Securities Commission is the principal regulator for this application, and
- (b) the decision is the decision of the principal regulator and evidences the decision of each other Decision Maker.

## Interpretation

Terms defined in National Instrument 14-101 *Definitions* and Multilateral Instrument 11-102 *Passport System* 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 which is sometimes referred to herein as “**GLMX**”:

1. The Filer is a private limited liability company incorporated under the laws of Delaware whose registered and head office is at 330 Seventh Avenue, Floor 17, New York, New York, United States of America.
2. The Filer is an (in)direct wholly owned subsidiary of Global Liquid Markets, LLC (**GLM**). GLM is a holding company for various GLMX entities. GLM has three subsidiaries: GLMX, LLC, the Filer and GLMX Europe Limited. GLMX, LLC licenses an electronic trading platform (**Platform**) to GLMX and GLMX operates and maintains it. The Platform facilitates the negotiation of securities financing transactions including repurchase and reverse purchase transactions and securities lending arrangements, sale/buy back agreements and margin lending (collectively, **SFTs**) between institutional counterparties that have pre-existing contractual relationships with each other.
3. The Filer was formed in June 2017. It is registered as an alternative trading system (**ATS**) and a broker-dealer registered with the Securities and Exchange Commission (**SEC**) pursuant to section 15 of the *Securities Exchange Act of 1934*, as amended, (**Exchange Act**). The Filer is also a member of the Financial Industry Regulatory Authority (**FINRA**) and the Securities Investor Protection Corporation. The Filer operates one ATS that is registered with the SEC.
4. The Filer is subject to a comprehensive regulatory regime in the US. The Filer operates as an ATS and a broker-dealer registered with the SEC. The Filer is regulated by the SEC and FINRA as a broker-dealer and an ATS. The SEC and FINRA fulfil their regulatory responsibilities within the framework established by the Exchange Act and FINRA member rules.
5. SFTs are transactions where securities are used to borrow cash, or vice versa. The principal participants in these markets are broker-dealers acting as intermediaries and their diverse institutional clients. In these transactions, securities are exchanged for collateral which can be in the form of cash or different securities. Transactions are driven by a need to lend/borrow specific securities or to lend/borrow cash.
6. Cash lenders use SFTs as a way to securely invest cash. Typical cash lenders include money market funds, central banks, bank investment portfolio and others. Securities lenders enter into SFTs to finance their securities positions or obtain leverage. Typical cash borrowers/securities lenders are hedge funds, mortgage REITs, pension funds, asset managers, insurance companies and sovereign wealth funds.
7. The securities exchanged in SFTs negotiated on the Platform are as follows: major sovereign debt including US Treasuries, UK Government Debts, Euro Government Debt, Japan, Singapore, Australia and New Zealand, debt issued by agency; sub-sovereign and supranational institutions including U.S. agency debentures (FNMA, Freddie, FHLC), provincials, International Finance Corporation (IFC), World Bank, Länder, US Municipal Debt; Mortgage-Backed Securities including Agency Mortgage-Backed Securities Pools, Agency Collateralized Mortgage Obligations (CMOs), CMO Private Label (Investment-Grade And Non-Investment-Grade), Crown; non-Canadian issued corporate debt including Investment Grade, Non-investment grade, asset-backed securities; and re-securitizations including consumer (credit cards, auto loans), collateralized debt obligations, collateralized loan obligations, covered bonds; loans including bank loans, whole loans; money market instruments including term deposits, certificates of deposit, commercial paper; and non-Canadian issued equities including common, preferred, convertible and ETF.
8. In addition, GLMX currently offers and intends in the future to offer SFTs on its platform using Canadian Government Securities, defined as all debt instruments denominated in Canadian dollars and issued domestically by the Government of Canada or provincial governments or municipalities, as an incidental part of its business which will constitute less than 10% measured by total GLMX volume for the last 12 months.
9. The Filer does not have any offices or maintain other physical installations in Alberta, British Columbia, Nova Scotia, Ontario, Québec or any other Canadian province or territory.
10. Prior to getting access to the Platform, a subscriber (customer) must sign an agreement (**Subscription Online Services Agreement**) with GLMX that covers, among other things, obligations of the subscriber, and termination events.
11. The subscriber identifies to GLMX by name each employee or contractor of subscriber that is authorized to use the Platform. These “named users” are the only individuals within the subscriber licensed to access and use the service (**Online Service**).

## Decisions, Orders and Rulings

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12. GLMX will provide the subscriber access to the online service through a web based interface that can only be accessed when GLMX white lists subscriber's IP addresses. GLMX will provide each named user a unique username and password to enable such named user to access the Online Service.
13. Once a trade is mutually agreed and completed by the counterparties, the GLMX platform will send trade details to the parties of the transaction via a pre-approved method (e.g. email). Subscribers, independently and in advance, notify GLMX that they are properly documented with and able to trade with specific counterparties prior to engaging in transactions with that counterparty. GLMX is not a party to the SFT transaction and is not involved in the direct execution or clearing and settlement.
14. GLMX proposes to offer direct access to its Platform to prospective subscribers in the Jurisdictions (**Canadian Subscribers**) to facilitate trades. Access to the Platform will be limited to Canadian Subscribers who meet GLMX's eligibility criteria. Subscribers generally fall into the following categories: large multi-national bank; insurance company; US registered investment company; derivatives dealer; and/or any other person (whether a corporation, partnership, trust or otherwise) with total assets of at least \$50 million which can include pension funds and hedge funds.
15. Before being provided direct access to the Platform, GLMX will confirm that each Canadian Subscriber is a "permitted client" as that term is defined in National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations (NI 31-103)*. Retail customers will not be provided with access to the Platform.
16. Once a Canadian Subscriber demonstrates that it satisfies the eligibility criteria, the Canadian Subscriber must execute a Subscription Online Services Agreement in which the prospective Canadian Subscriber agrees to use the online service and the related user documentation only in the ordinary course of its own business for its own internal use and be and remain at all times a "permitted client" as defined in NI 31-103.
17. Under the Subscription Online Services Agreement, a Canadian Subscriber and its affiliates constitute a "Subscriber Group" and the Subscriber Group will authorize named users (**Named Users**) who are the only persons authorized to use the online service. The Subscriber Group's right to use the Online Service is conditioned upon Subscriber Group obtaining and maintaining all government, legal and regulatory approvals, consents, authorizations, registrations, permits and licenses required for the conduct of its activities and its use of the Online Services and using the Online Service only in compliance with applicable law.
18. GLMX has determined that it may be subject to dealer registration under applicable Canadian securities legislation and so it proposes to rely on the "international dealer exemption" under section 8.18 of NI 31-103 in the Jurisdictions and, subject to observing the revenue/volume ceiling just mentioned, on the specified debt exemption under section 8.21 of NI 31-103.
19. The Filer will ensure that all applicants who become Canadian Subscribers satisfy the Filer's eligibility criteria, including, among other things, that each Canadian Subscriber is a "permitted client" as that term is defined in NI 31-103.
20. The Filer is not in default of securities legislation in any Jurisdiction.

### 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 Exemptive Relief Sought is granted provided that the Filer complies with the terms and conditions attached hereto as Schedule A.

"Tracey Stern"  
Manager, Market Regulation  
Ontario Securities Commission

## SCHEDULE A

### Terms and Conditions

#### Regulation and Oversight of the Marketplace

1. The Filer will continue to be subject to the regulatory oversight of the regulator in its home jurisdiction;
2. The Filer will either be registered in an appropriate category or rely on an exemption from registration under Canadian securities laws;
3. The Filer will promptly notify the Decision Makers if its status in its home jurisdiction has been revoked, suspended, or amended, or the basis on which its status has significantly changed;

#### Access

4. The Filer will not provide direct access to a Canadian Subscriber unless the Canadian Subscriber is a “permitted client” as that term is defined in NI 31-103;
5. The Filer will require Canadian Subscribers to provide prompt notification to the Filer if they no longer qualify as “permitted clients”;
6. The Filer must make available to Canadian Subscribers appropriate training for each person who has access to trade on the Platform;

#### Trading by Canadian Subscribers

7. The Filer will only offer SFTs to Canadian Subscribers and in that context use only the collateral listed in accordance with representation numbers 7 and 8 of this Decision;
8. Trades on the Platform by Canadian Subscribers will be cleared and settled through clearing arrangements used outside the Platform by subscribers;
9. The Filer will only permit Canadian Subscribers to trade those securities which are permitted to be traded in the United States under applicable securities laws and regulations;

#### Reporting

10. The Filer will promptly notify staff of the Decision Makers of any of the following:
  - (a) any material change to its business or operations or the information provided in the Application, including, but not limited to:
    - (i) changes to its regulatory oversight;
    - (ii) the access model, including eligibility criteria, for Canadian Subscribers;
    - (iii) systems and technology; and
    - (iv) its clearing and settlement arrangements;
  - (b) any change in its regulations or the laws, rules, and regulations in the home jurisdiction relevant to the products traded;
  - (c) any known investigations of, or regulatory action against, the Filer by the regulator in the home jurisdiction or any other regulatory authority to which it is subject;
  - (d) any matter known to the Filer that may affect its financial or operational viability, including, but not limited to, any significant system failure or interruption; and
  - (e) any default, insolvency, or bankruptcy of any subscriber known to the Filer or its representatives that may have a material, adverse impact upon the Platform, the Filer or any Canadian Subscriber;
11. The Filer will maintain the following updated information and submit such information in a manner and form acceptable to staff of the Decision Makers on a semi-annual basis (within 30 days of the end of each six-month period), and at any time promptly upon the request of staff of the Decision Makers:



- (a) a current list of all Canadian Subscribers on a per provincial basis, specifically identifying for each Canadian Subscriber the basis upon which it represented to the Filer that it could be provided with direct access;
- (b) a list of all Canadian applicants for status as a Canadian Subscriber on a per provincial basis who were denied such status or access or who had such status or access revoked during the period;
  - (i) for those Canadian applicants for status as a Canadian Subscriber that were denied access, an explanation as to why access was denied;
  - (ii) for those Canadian Subscribers who had their status revoked, an explanation as to why their status was revoked;
- (c) for each product:
  - (i) the total trading volume and value originating from Canadian Subscribers, presented on a per provincial Canadian Subscriber basis;
  - (ii) the proportion of worldwide trading volume and value on the Platform conducted by Canadian Subscribers, presented in the aggregate per province for such Canadian Subscribers;
  - (iii) the trading volume and value of Canadian Government Securities (as defined in representation 8 of this Decision) used in SFTs and proportion of trading volume in Canadian Government Securities relative to the total volume traded on GLMX for the six month period, calculated in a manner acceptable to the Decision Makers; and
- (d) a list of any system outages that occurred for any system impacting Canadian Subscribers' trading activity on the Platform which were reported to the regulator in the home jurisdiction;

**Disclosure**

- 12. The Filer will provide to its Canadian Subscribers disclosure that states that:
  - (a) rights and remedies against it may only be governed by the laws of the home jurisdiction, rather than the laws of Canada, and may be required to be pursued in the home jurisdiction rather than in Canada;
  - (b) the rules applicable to trading on the Platform may be governed by the laws of the home jurisdiction, rather than the laws of Canada; and
  - (c) the Filer is regulated by the regulator in the home jurisdiction, rather than the Decision Makers;

**Submission to Jurisdiction and Agent for Service**

- 13. With respect to a proceeding brought by the Decision Makers, staff of the Decision Makers or another applicable securities regulatory authority in Canada arising out of, related to, concerning or in any other manner connected with such regulatory authority's regulation and oversight of the activities of the Filer in Canada, the Filer will submit to the non-exclusive jurisdiction of (i) the courts and administrative tribunals of Canada, and (ii) an administrative proceeding in Canada;
- 14. The Filer will file with the Decision Makers a valid and binding appointment of McCarthy Tétrault LLP, or any subsequent agent, as the agent for service in Canada upon which the Decision Makers or other applicable regulatory authority in Canada may serve a notice, pleading, subpoena, summons, or other process in any action, investigation, or administrative, criminal, quasi-criminal, penal, or other proceeding arising out of or relating to or concerning the regulation and oversight of the Platform or the Filer's activities in Canada; and

**Information Sharing**

- 15. The Filer must, and must cause its affiliated entities, if any, to promptly provide to the Decision Makers, on request, any and all data, information, and analyses in the custody or control of the Filer or any of its affiliated entities, without limitations, redactions, restrictions or conditions, including, without limiting the generality of the foregoing:
  - (a) data, information, and analyses relating to all of its or their businesses; and
  - (b) data, information, and analyses of third parties in its or their custody or control; and
- 16. The Filer must share information and otherwise cooperate with other recognized or exempt exchanges, recognized self-regulatory organizations, investor protection funds and other appropriate legal and regulatory bodies.

## 2.1.2 The Calgary Airport Authority

### Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – relief from the prospectus requirement in connection with the distribution of non-convertible debentures, subject to conditions – non-reporting, not-for-profit issuer unable to rely on the exemption in section 2.4 of NI 45-106.

### Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c. S.5, as am., s. 74.

**Citation:** *Re The Calgary Airport Authority*, 2021 ABASC 156

October 7, 2021

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

AND

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

AND

IN THE MATTER OF  
THE CALGARY AIRPORT AUTHORITY  
(the Filer)

**DECISION**

### Background

The securities regulatory authority or regulator in each of the Jurisdictions (each, a **Decision Maker**) has received an application from the Filer for a decision under the securities legislation of the Jurisdictions (the **Legislation**) for an exemption from the prospectus requirement in connection with the distribution (an **Offering**) of non-convertible debt securities of the Filer (the **Exemption Sought**).

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

- (a) the Alberta Securities Commission is the principal regulator for this application,
- (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 province of Canada, other than Ontario and Alberta, and
- (c) the decision is the decision of the principal regulator and evidences the decision of the securities regulatory authority or regulator in Ontario.

### Interpretation

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 private, not-for-profit corporation, formed on 26 July 1990 by way of order in council O.C. 398/90 issued by the Lieutenant Governor in Council of Alberta.
2. The head office of the Filer is located in Alberta.

## Decisions, Orders and Rulings

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3. The Filer is governed by articles of incorporation dated 7 October 1998 (the **Articles**) as well as the *Regional Airports Authorities Act* (the **RAA Act**) and the *Regional Airports Authorities Regulation* (the **RAA Regulation**).
4. The Filer is not a reporting issuer in any jurisdiction of Canada and is not in default of securities legislation in any jurisdiction of Canada.
5. The Articles provide that there are no restrictions on:
  - (a) the number of securities or any particular form of securities that the Filer is permitted to issue; or
  - (b) the right to transfer any of the securities issued by the Filer; however, the Articles do not provide for specific classes of shares or other equity securities issuable by the Filer.
6. There is a strict prohibition on the Filer's ability to issue shares under section 36(2) of the RAA Act, which is not an optional prohibition and cannot be overridden by provisions of the Articles and the Filer is therefore unable to issue share capital. Accordingly, the Filer does not have any shares or other equity securities outstanding and has never issued such equity securities.
7. The outstanding securities of the Filer consist of approximately \$2.915 billion in non-convertible debentures (the **Prior Offering**). Debentures of the Filer were distributed solely to the Government of Alberta in the name of the Alberta Capital Finance Authority. By subsequent assignment, all such debentures under the Prior Offering have been transferred directly to the Province of Alberta.
8. While the RAA Act contemplates the issuance of securities by authorities such as the Filer, section 36(2) of the RAA Act restricts the issuance of share capital by providing that "unless otherwise prescribed, an authority shall not issue any shares". The RAA Regulation does not prescribe anything to the contrary.
9. In order to complete a distribution or trade of securities, the Filer would be required to file a prospectus or rely on an exemption from the prospectus requirements under National Instrument 45-106 *Prospectus Exemptions* (**NI 45-106**).
10. The Filer cannot rely on the exemption in section 2.4 of NI 45-106 (the **Private Issuer Exemption**) with respect to the Offering because it does not technically satisfy subparagraph (b)(i) of the definition of "private issuer" contained in the Private Issuer Exemption, as there are no restrictions on the transfer of the relevant securities of the Filer contained in the Filer's constating documents or security holders' agreement.

### Decision

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

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

- (a) at the time of an Offering,
  - (i) the Filer satisfies paragraphs (a) and (c) of the definition of "private issuer" contained in the Private Issuer Exemption,
  - (ii) there has been no amendment to section 36(2) of the RAA Act,
  - (iii) the RAA Regulation prescribes no exception to section 36(2) of the RAA Act, and
- (b) the first trade of any non-convertible debt securities of the Filer issued in reliance on the Exemption Sought will be subject to section 2.6 of National Instrument 45-102 *Resale of Securities*.

### For the Commission:

"Tom Cotter"  
Vice-Chair

"Kari Horn"  
Vice-Chair

### 2.1.3 Brookfield Business Partners L.P. and Brookfield Business Corporation

#### Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Multilateral Instrument 61-101 Protection of Minority Security Holders in Special Transactions – partnership creates corporation to provide investors with alternative way to hold its units – corporation issues exchangeable shares whose terms are structured so that each exchangeable share is functionally and economically equivalent to a partnership unit – each exchangeable share provides an equivalent economic return as a partnership unit – both the partnership and the corporation are reporting issuers – related party transactions between the partnership and the corporation are exempt from the related party transaction requirements, subject to conditions – partnership may include corporation's exchangeable shares when calculating market capitalization for the purposes of using the 25% market capitalization exemption for certain related party transactions, subject to conditions.

#### Applicable Legislative Provisions

Multilateral Instrument 61-101 Protection of Minority Security Holders in Special Transactions, Part 5, ss. 5.5(a), 5.7(1)(a) and 9.1.

October 8, 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  
BROOKFIELD BUSINESS PARTNERS L.P.,  
AND  
BROOKFIELD BUSINESS CORPORATION

DECISION

#### Background

The principal regulator in the Jurisdiction has received an application from Brookfield Business Partners L.P. (**BBU**) and Brookfield Business Corporation (**BBUC**, and together with BBU, the **Filers**) for a decision under the securities legislation of the Jurisdiction of the principal regulator (the **Legislation**) that:

- (a) BBU be exempt from the requirements of Part 5 of Multilateral Instrument 61-101 *Protection of Minority Security Holders in Special Transactions* (**MI 61-101**, and such requirements, the **Related Party Transaction Requirements**) in connection with any related party transaction of BBU with BBUC or any of BBUC's subsidiary entities (the **BBU Related Party Relief**);
- (b) BBUC be exempt from the Related Party Transaction Requirements in connection with any related party transaction of BBUC with BBU or any of BBU's subsidiary entities (the **BBUC Related Party Relief**); and
- (c) BBU be exempt from the requirements of sections 5.4 and 5.6 of MI 61-101 (the **Valuation and Minority Approval Requirements**) in connection with any related party transaction of BBU entered into indirectly through Holding LP (as defined below) or any subsidiary entity of Holding LP, if that transaction would qualify for the transaction size exemptions set out in sections 5.5(a) and 5.7(1)(a) of MI 61-101 if the class A exchangeable subordinate voting shares of BBUC (the **Exchangeable Shares**) were included in the calculation of BBU's market capitalization (the **Transaction Size Relief**, collectively with the BBU Related Party Relief and the BBUC Related Party Relief, the **Exemption Sought**).

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

- (a) the Ontario Securities Commission is the principal regulator for this application; and
- (b) the Filers have provided notice that subsection 4.7(1) of Multilateral Instrument 11-102 *Passport System* (**MI 11-102**) is intended to be relied upon in Alberta, Manitoba, New Brunswick, Quebec, and Saskatchewan.

## Interpretation

Terms defined in National Instrument 14-101 *Definitions*, MI 11-102 and MI 61-101 have the same meaning if used in this decision, unless otherwise defined.

## Representations

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

### Relevant Entities

#### *BBU*

1. BBU is an exempted limited partnership established, registered and in good standing under the laws of Bermuda. BBU's registered and head office is located at 73 Front Street, 5th Floor, Hamilton HM 12, Bermuda.
2. BBU is a reporting issuer in all of the provinces and territories of Canada and is an SEC foreign issuer within the meaning of section 1.1 of National Instrument 71-102 *Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (NI 71-102)* and satisfies its continuous disclosure obligations by complying with U.S. federal securities laws as permitted under NI 71-102. BBU is not in default of any requirement of securities legislation in the jurisdictions in which it is a reporting issuer.
3. The authorized capital of BBU consists of: (a) non-voting limited partnership units (the **BBU Units**); and (b) general partnership units.
4. The BBU Units are listed on the New York Stock Exchange (**NYSE**) and the Toronto Stock Exchange (**TSX**) under the symbols "BBU" and "BBU.UN", respectively.
5. BBU's only substantial asset is its limited partnership interest in Brookfield Business L.P. (**Holding LP**), a Bermuda exempted limited partnership established, registered and in good standing under the laws of Bermuda.
6. Brookfield Business Partners Limited, a wholly-owned subsidiary of Brookfield Asset Management Inc. (**Brookfield**), holds the general partner **units** in BBU.

#### *Brookfield*

7. Brookfield is a corporation existing and in good standing under the *Business Corporations Act* (Ontario). Brookfield's registered and head office is located at Suite 300, Brookfield Place, 181 Bay Street, Toronto, Ontario, M5J 2T3.
8. Brookfield is a reporting issuer in all of the provinces and territories of Canada and is not in default of any requirement of securities legislation in the jurisdictions in which it is a reporting issuer.
9. The Class A Limited Voting Shares of Brookfield are listed on the NYSE and the TSX under the symbols "BAM" and "BAM.A", respectively.
10. Brookfield holds an approximate 64% economic interest in BBU on a fully-exchanged basis through its indirect ownership of redeemable partnership units of Holding LP (the **Redeemable Partnership Units**).
11. Brookfield indirectly holds 100% of the voting interests in BBU through its ownership of the general partner **units** of BBU.
12. BBU, Holding LP and certain of their subsidiaries have retained Brookfield and its related entities to provide management, administrative and advisory services under a master services agreement.

#### *BBUC*

13. BBUC is a corporation existing and in good standing under the *Business Corporations Act* (British Columbia), and was incorporated on June 21, 2021. BBUC's registered office is located at 1500 Royal Centre, 1055 West Georgia Street, P.O. Box 11117, Vancouver, British Columbia, V6E 4N7. BBUC's head office is located at 250 Vesey Street, 15th Floor, New York, New York, 10281, United States of America.
14. The authorized share capital of BBUC consists of an unlimited number of common shares (the **BBUC Common Shares**).
15. All of the BBUC Common Shares are held by Brookfield BBP Canada Holdings Inc. (**CanHoldCo**), a wholly-owned subsidiary of BBU.

## Decisions, Orders and Rulings

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16. BBUC's initial operations will consist of business services and industrial operations primarily located in Australia, the United Kingdom, the United States and Brazil.
17. BBUC is not a reporting issuer in any jurisdiction and is not in default of any applicable requirement of securities legislation.

### The Special Distribution

18. BBU believes that certain investors in certain jurisdictions may be dissuaded from investing in BBU because of the tax reporting framework that results from investing in units of a Bermuda exempted limited partnership.
19. BBUC was created, in part, to provide investors that would not otherwise invest in BBU with an opportunity to gain access to BBU's portfolio of services and industrial operations and their associated returns, and to provide investors with the flexibility to own, through the ownership of an Exchangeable Share, the economic equivalent of a BBU Unit.
20. BBU will be distributing Exchangeable Shares to holders of BBU Units (the **Special Distribution**). The Special Distribution is, in effect, a stock split of the BBU Units.
21. On July 30, 2021, (i) BBUC filed a preliminary long form prospectus to qualify the distribution of the Exchangeable Shares to be distributed pursuant to the Special Distribution, and (ii) BBU filed a preliminary short form prospectus to qualify the BBU Units issuable or deliverable upon the exchange, redemption or purchase of Exchangeable Shares pursuant to their terms.
22. Upon obtaining a receipt for the final prospectus, BBUC will become a reporting issuer in each of the provinces and territories of Canada.
23. BBUC has applied to have the Exchangeable Shares listed on the NYSE and TSX.
24. BBUC filed a registration statement on Form F-1 with the U.S. Securities and Exchange Commission (the **SEC**), to register the Exchangeable Shares that will be distributed pursuant to the Special Distribution, and BBU will file a registration statement of Form F-3 with the SEC, as amended, to register the BBU Units issuable or deliverable upon the exchange, redemption or purchase of Exchangeable Shares pursuant to their terms.
25. Prior to the closing of the Special Distribution:
  - (a) BBUC will reclassify its share structure such that, following the reclassification, BBUC's authorized share capital will consist of: (i) an unlimited number of Exchangeable Shares; (ii) an unlimited number of class B multiple voting shares (the **Class B Shares**); (iii) an unlimited number of class C non-voting shares (the **Class C Shares**); (iv) an unlimited number of class A senior preferred shares (issuable in series); and (v) an unlimited number of class B junior preferred shares (issuable in series);
  - (b) the following assets and ownership interests will be contributed or transferred by BBU, or subsidiaries thereof, to BBUC:
    - (i) an approximate 28% economic interest in Healthscope Pty Limited;
    - (ii) an approximate 26% economic interest in BRK Ambiental Participações S.A.;
    - (iii) an approximate 27% economic interest in Westinghouse Electric Company;
    - (iv) a 100% economic interest in Multiplex Global Limited; and
    - (v) approximately \$212 million in cash (the **Cash Proceeds**);
  - (c) BBUC will loan the Cash Proceeds to CanHoldCo; and
  - (d) BBU will receive Exchangeable Shares through a distribution by Holding LP of Exchangeable Shares, on a proportionate basis, to all the holders of equity units of Holding LP, including Brookfield through its indirect ownership of Redeemable Partnership Units and special limited partnership units in Holding LP.
26. The distribution ratio of one (1) Exchangeable Share for every two (2) BBU Units was based on the fair market value of the businesses to be transferred by BBU to BBUC, the number of BBU Units outstanding at the time of the Special Distribution (assuming exchange of the Redeemable Partnership Units), and the market capitalization of BBU.
27. Each Exchangeable Share has been structured with the intention of providing an economic return equivalent to a BBU Unit and the rights, privileges, restrictions and conditions attached to each Exchangeable Share (the **Exchangeable**

**Share Provisions**) are such that each Exchangeable Share is as nearly as practicable, functionally and economically, equivalent to a BBU Unit. In particular:

- (a) each Exchangeable Share will be exchangeable at the option of a holder for one (1) BBU Unit (subject to adjustment to reflect certain capital events) or its cash equivalent (the form of payment to be determined at the election of BBUC) (an **Exchange**);
  - (b) the Exchangeable Shares are redeemable by BBUC at any time (including following a notice requiring redemption having been given by BBU) for BBU Units (or its cash equivalent, at BBUC's election) on a one-for-one basis (subject to adjustment to reflect certain capital events) (a **Redemption**);
  - (c) upon a liquidation, dissolution or winding up of BBUC, holders of Exchangeable Shares will be entitled to receive BBU Units (or its cash equivalent, at BBUC's election) on a one-for-one basis (subject to adjustment to reflect certain capital events) and not any remaining property or assets of BBUC following such payment (a **BBUC Liquidation**);
  - (d) upon a liquidation, dissolution or winding up of BBU, including where substantially concurrent with a BBUC Liquidation, all of the Exchangeable Shares will be automatically redeemed for BBU Units (or its cash equivalent, at BBUC's election) on a one-for-one basis (subject to adjustment to reflect certain capital events) (a **BBU Liquidation**); and
  - (e) subject to applicable law and in accordance with the Exchangeable Share Provisions, each Exchangeable Share will entitle the holder to dividends from BBUC payable at the same time as, and equivalent to, each distribution on a BBU Unit. The Exchangeable Share Provisions also provide that if a distribution is declared on the BBU Units and an equivalent dividend is not declared and paid concurrently on the Exchangeable Shares, then the undeclared or unpaid amount of such dividend accrues and accumulates and is to be paid upon the first to occur of any of the circumstances contemplated by paragraphs (a) to (d) above, if not yet paid.
28. Upon being notified by BBUC that BBUC has received a request for an Exchange, BBU has an overriding call right to purchase (or have one of its affiliates purchase) all of the Exchangeable Shares that are the subject of the Exchange notice from the holder of Exchangeable Shares for BBU Units (or its cash equivalent, at BBU's election) on a one-for-one basis (subject to adjustment to reflect certain capital events).
29. Upon being notified by BBUC that it intends to conduct a Redemption, BBU has an overriding call right to purchase (or have one of its affiliates purchase) all but not less than all of the then outstanding Exchangeable Shares for BBU Units (or its cash equivalent, at BBU's election) on a one-for-one basis (subject to adjustment to reflect certain capital events).
30. Upon the occurrence of a BBU Liquidation or BBUC Liquidation, BBU will have an overriding liquidation call right to purchase (or have one of its affiliates purchase) all but not less than all of the then outstanding Exchangeable Shares on the day prior to the effective date of such BBU Liquidation or BBUC Liquidation for BBU Units on a one-for-one basis (subject to adjustment to reflect certain capital events).
31. Prior to the Special Distribution, Brookfield will enter into a rights agreement (the **Rights Agreement**) pursuant to which it will agree that, for the five-year period beginning on the date of the Special Distribution, Brookfield will guarantee BBUC's obligation to deliver BBU Units or its cash equivalent in connection with an Exchange.
32. An investment in Exchangeable Shares will be as nearly as practicable, functionally and economically, equivalent to an investment in BBU Units. BBU expects that:
- (a) investors of Exchangeable Shares will purchase Exchangeable Shares as an alternative way of owning BBU Units rather than a separate and distinct investment; and
  - (b) the market price of the Exchangeable Shares will be significantly impacted by (i) the combined business performance of BBUC and BBU as a single economic unit, and (ii) the market price of the BBU Units, in a manner that should result in the market price of the Exchangeable Shares tracking the market price of the BBU Units.
33. BBUC is intended to be an entity through which persons who do not wish to hold BBU Units directly, may hold their interests in BBU, and BBU is the entity through which holders of Exchangeable Shares and BBU Units hold their interests in the collective operations of BBU and its subsidiaries, including BBUC and its subsidiaries.

Ownership and Control of BBUC

34. The Related Party Transaction Requirements do not apply to an issuer carrying out a related party transaction if:
- (a) as provided under paragraph 5.1(d) of MI 61-101, the parties to the transaction consist solely of (i) an issuer and one or more of its wholly-owned subsidiary entities, or (ii) wholly-owned subsidiary entities of the same issuer. A person is considered to be a “wholly-owned subsidiary entity” of an issuer if the issuer owns, directly or indirectly, all of the voting and equity securities and securities convertible into voting and equity securities of the person; and/or
  - (b) as provided under paragraph 5.1(g) of MI 61-101 (the **Downstream Transaction Carve-Out**), the transaction is a downstream transaction for the issuer. A “downstream transaction” means, for an issuer, a transaction between the issuer and a related party of the issuer if, at the time the transaction is agreed to, (i) the issuer is a control person of the related party, and (ii) to the knowledge of the issuer after reasonable inquiry, no related party of the issuer, other than a wholly-owned subsidiary entity of the issuer, beneficially owns or exercises control or direction over, other than through its interest in the issuer, more than five per cent of any class of voting or equity securities of the related party that is a party to the transaction.
35. Section 1.3 of MI 61-101 provides that, for the purposes of MI 61-101, a transaction of a wholly-owned subsidiary entity of an issuer is deemed to be a transaction of the issuer.
36. Related party transactions among BBU and BBUC will be required for the operation of the Exchangeable Share Provisions and in connection with ordinary course financial support arrangements which may be entered into from time to time.
37. The only voting securities of BBUC are the Exchangeable Shares and the Class B Shares. Holders of Exchangeable Shares are entitled to one (1) vote per Exchangeable Share held and holders of Class B Shares are entitled to cast, in the aggregate, a number of votes equal to three (3) times the number of votes attached to the Exchangeable Shares.
38. Neither the Exchangeable Shares nor the Class B Shares carry a residual right to participate in the assets of BBUC upon liquidation or winding-up of BBUC, and accordingly, are not equity securities under the Legislation. The Class C Shares are the only equity securities of BBUC.
39. All of the Class B Shares and the Class C Shares will be indirectly owned by BBU and none of them will be transferable except to an affiliate of BBU. Accordingly, all of the equity securities of BBUC are held indirectly by BBU.
40. BBUC is not a wholly-owned subsidiary of BBU; BBU will not own, directly or indirectly, all of the voting securities of BBUC because Brookfield and members of the public will hold Exchangeable Shares. However, by virtue of the terms of the Class B Shares, BBU holds a 75% voting interest in BBUC, will control BBUC and the appointment and removal of directors of BBUC; the voting rights attached to the Exchangeable Shares do not allow holders of Exchangeable Shares to affect the control of BBUC. The voting right attached to each Exchangeable Share is expected to assist with index inclusion.
41. BBU is not able to rely on the Downstream Transaction Carve-Out because, upon completion of the Special Distribution, Brookfield will beneficially own or exercise control or direction over, more than five per cent of the Exchangeable Shares, as it will hold, directly or indirectly, approximately 64% of the Exchangeable Shares. Brookfield will accordingly have an approximate 16% voting interest in BBUC.
42. BBUC is a controlled subsidiary of BBU and BBU will consolidate BBUC and its businesses in BBU’s financial statements.
43. By virtue of the Exchangeable Share Provisions, the economic rights of the holders of the Exchangeable Shares will not be affected by transactions between BBU and BBUC. BBU, as the sole holder of equity securities of BBUC, will receive any benefit and/or bear any detriment from related party transactions between BBU and BBUC.
44. Minority approval is required of every class of affected securities, being equity securities of the issuer. For BBUC, minority approval of a related party transaction of BBUC with BBU would be sought from the holders of its Class C Shares, all of which are held by BBU. BBU, as the counterparty to such a related party transaction, does not require the protections of MI 61-101.

Market Capitalization Calculation

45. It is anticipated that BBU will, from time to time, enter into transactions with certain related parties, including Brookfield and its affiliates (other than BBU and its related entities, including BBUC) indirectly through Holding LP and its subsidiaries (including BBUC and its subsidiaries).



46. The Valuation and Minority Approval Requirements require, subject to the availability of an exemption, that an issuer obtain: (a) a formal valuation of the transaction in a form satisfying the requirements of MI 61-101 by an independent valuator; and (b) approval of the transaction by disinterested holders of the affected securities of the issuer.
47. A related party transaction that is subject to MI 61-101 may be exempt from the Valuation and Minority Approval Requirements if, at the time the transaction is agreed to, neither the fair market value of the subject matter of, nor the fair market value of the consideration for, the transaction, exceeds 25% of the issuer's market capitalization (the **Market Cap Exemption**).
48. It is unclear whether BBU would be entitled to rely on the Market Cap Exemption available under the Legislation because the definition of market capitalization in the Legislation does not contemplate securities of another entity that are exchangeable into equity securities of the issuer.
49. The Exchangeable Shares represent part of the equity value of BBU and are functionally and economically equivalent to the BBU Units. As a result of the Exchangeable Share Provisions, holders of Exchangeable Shares have the ability to receive a BBU Unit or its cash equivalent (the form of payment to be determined at the election of BBUC) and will receive identical distributions to the BBU Units, as and when declared by the board of directors of BBUC. Moreover, the economic interests that underlie the Exchangeable Shares are identical to those underlying the BBU Units; namely, the assets and operations held directly or indirectly by BBU.
50. Any costs related to a transaction occurring within the BBUC group would be borne by BBU as the sole holder of the equity securities of BBUC. BBU will consolidate BBU and its businesses in its financial statements and the business of BBU (including BBUC and its subsidiaries) will be the same as it was before the creation of BBUC and the transactions conducted in connection with, and to facilitate, the Special Distribution.
51. If the Exchangeable Shares are not included in the market capitalization of BBU, the equity value of BBU will be understated initially by the value of the Exchangeable Shares, being approximately 33% (assuming a one-for-two distribution ratio). As a result, related party transactions of BBU that are entered into through a subsidiary entity of BBUC may be subject to the Valuation and Minority Approval Requirements in circumstances where the fair market value of the transactions are effectively less than 25% of the fully diluted market capitalization of BBU.
52. BBU has already received relief similar to the Transaction Size Relief in respect of the Redeemable Partnership Units. On June 20, 2016, the Ontario Securities Commission granted BBU an exemption from the Valuation and Minority Approval Requirements in connection with any related party transaction of BBU entered into indirectly through Holding LP or a subsidiary of Holding LP if that transaction would qualify for the Market Cap Exemption if the Redeemable Partnership Units were included in the calculation of BBU's market capitalization.

**Decision**

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

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

1. in respect of the BBU Related Party Relief and BBUC Related Party Relief:
  - (a) all of the equity securities of BBUC are owned, directly or indirectly, by BBU;
  - (b) all of the voting securities of BBUC (other than the Exchangeable Shares) are owned, directly or indirectly, by BBU;
  - (c) there are no material changes to the Exchangeable Share Provisions, as described above; and
  - (d) BBU consolidates BBUC and its businesses in BBU's financial statements;
2. in respect of the Transaction Size Relief:
  - (a) the transaction would qualify for the Market Cap Exemption if the Exchangeable Shares were considered an outstanding class of equity securities of BBU that were convertible into BBU Units;
  - (b) there are no material changes to the Exchangeable Share Provisions, as described above; and

- (c) any annual information form or equivalent of BBU that is required to be filed in accordance with applicable securities laws contain the following disclosure, with any immaterial modifications as the context may require:

Multilateral Instrument 61-101 *Protection of Minority Security Holders in Special Transactions* (“**MI 61-101**”) provides a number of circumstances in which a transaction between an issuer and a related party may be subject to valuation and minority approval requirements. An exemption from such requirements is available when the fair market value of the transaction is not more than 25% of the market capitalization of the issuer. Brookfield Business Partners L.P. (“**BBU**”) has been granted exemptive relief from the requirements of MI 61-101 that, subject to certain conditions, permits it to be exempt from the minority approval and valuation requirements for transactions that would have a value of less than 25% of BBU’s market capitalization, if Brookfield Asset Management Inc.’s (“**Brookfield**”) indirect equity interest in BBU, and the class A exchangeable subordinate voting shares of Brookfield Business Corporation (“**BBUC**”) are included in the calculation of BBU’s market capitalization. As a result, the 25% threshold, above which the minority approval and valuation requirements apply, is increased to include the approximately 47% indirect interest in BBU in the form of redeemable partnership units of Brookfield Business L.P. (assuming exchange of such redeemable partnership units) held by Brookfield and the approximately 33% indirect interest in BBU in the form of class A exchangeable subordinate voting shares of BBUC held by Brookfield and the public.

“David Mendicino”  
Manager, Office of Mergers & Acquisitions  
Ontario Securities Commission

## 2.1.4 MEMBERS Capital Advisors, Inc.

### Headnote

Application to the Ontario Securities Commission for a ruling pursuant to subsection 74(1) of the Securities Act (Ontario) (the Act) for a ruling that the Applicant be exempted from the adviser registration requirements in subsection 25(3) of the Act. The Applicant will provide advice to its Canadian affiliate in Ontario only for so long as such affiliate remains an affiliate of the Applicant.

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

**AND**

**IN THE MATTER OF  
MEMBERS CAPITAL ADVISORS, INC.**

**DECISION**

**UPON** the application (the **Application**) of MEMBERS Capital Advisors, Inc. (the **Applicant**) to the Ontario Securities Commission (the **Commission**) for a ruling pursuant to subsection 74(1) of the Act that the Applicant be exempted from the adviser registration requirements in subsection 25(3) of the Act;

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

**AND UPON** the Applicant having represented to the Commission as follows:

### Background

1. The Applicant is a corporation existing under the laws of the State of Iowa, with its principal office located in Madison, Wisconsin. The Applicant does not have an office or employees in Canada.
2. The Applicant is part of a group of companies owned by CUNA Mutual Holding Company, a mutual insurance holding company that is a provider of insurance and financial services to credit unions and their members, headquartered in Madison, Wisconsin and collectively known as "CUNA Mutual Group". The Applicant is a wholly-owned investment adviser subsidiary of CUNA Mutual Group.
3. The Applicant is registered as an adviser with the United States Securities and Exchange Commission under the United States *Investment Advisers Act of 1940*. The Applicant has assets under management of over US\$28 billion for CUNA Mutual Group entities.
4. The Applicant is in compliance in all material respects with securities laws of the United States of America. The Applicant is not in default of any requirements of securities legislation of any jurisdiction in Canada.
5. The Applicant is an affiliate of Assurant Life of Canada (the **Ontario Affiliate**). The Ontario Affiliate is incorporated under the laws of Ontario and is indirectly wholly-owned by CUNA Mutual Holding Company. The Ontario Affiliate is licensed to carry on the business of an insurance company in all provinces and territories in Canada, and provides funeral insurance, final expense insurance and executor insurance. The head office of the Ontario Affiliate is located in Toronto, Ontario.
6. The Applicant proposes to provide investment advice and portfolio management services to the Ontario Affiliate and any other affiliates in Ontario which may be formed or acquired in the future that (i) are licensed or otherwise duly permitted or authorized to carry on the business of an insurance company in Canada or a branch of a foreign insurance company in Canada, or (ii) are holding companies that have as their principal business activity to hold securities of one or more affiliates that are each licensed or otherwise duly permitted or authorized to carry on business as an insurance company in Canada. The investment advice and portfolio management services will be with respect to the portfolio assets of the Ontario Affiliate or any future affiliate. It is expected that the Applicant will provide investment advice and portfolio management services on approximately US\$1.9 billion of assets of the Ontario Affiliate.
7. The Applicant is not registered as an adviser in any jurisdiction of Canada and cannot rely on the international adviser registration exemption set out in section 8.26 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (**NI 31-103**) because the Applicant may provide advice on securities that are not a "foreign security" (as defined in Section 8.26(2) of NI 31-103) and that is not incidental to advice on a foreign security.
8. The Ontario Affiliate is a "permitted client" as defined in section 1.1 of NI 31-103.

9. There is no requirement for employees of a corporation to be registered as advisers under the Act if such employees provide investment advice to their employer with respect to the portfolio assets held by such employer. The Ontario Affiliate currently employs an individual who provides investment advice and direction with respect to its Canadian portfolio assets, but the Ontario Affiliate intends to outsource the adviser function to the Applicant, an affiliate of the Ontario Affiliate. Outsourcing the investment function is permitted under the *Insurance Act* (Ontario).
10. The Canadian portfolio assets held by the Ontario Affiliate and expected to be managed by the Applicant are owned by the Ontario Affiliate. There are no external stakeholders (such as, for example, holders of variable annuity contracts or segregated funds/separate accounts for policyholders) that have any direct interest in the performance of such portfolios. Accordingly, there is no stakeholder in Ontario or elsewhere other than the Ontario Affiliate that would be directly affected by the investment advice provided by the Applicant.
11. Subsection 74(1) of the Act provides that a ruling may be made by the Commission that a person or company is not subject to section 25 of the Act, subject to such terms and conditions as the Commission considers necessary, where the Commission is satisfied that to do so would not be prejudicial to the public interest.

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

**IT IS RULED**, pursuant to subsection 74(1) of the Act, that the Applicant is exempt from the adviser registration requirements of subsection 25(3) of the Act in respect of it acting as an adviser to its affiliates in Ontario, provided that:

1. the Applicant provides investment advice and portfolio management services in Ontario only to its affiliates that:
  - (a) are licensed or otherwise duly permitted or authorized to carry on business as an insurance company in Canada or a branch of a foreign insurance company in Canada; or
  - (b) are holding companies that have as their principal business activity to hold securities of one or more affiliates that are each licensed or otherwise duly permitted or authorized to carry on business as an insurance company in Canada; and
2. with respect to any particular affiliate, the investment advice and portfolio management services provided in Ontario are provided only as long as that affiliate remains:
  - (a) an “affiliate” of the Applicant as defined in the Act, and
  - (b) a “permitted client” as defined in NI 31-103.

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

“Frances Kordyback”  
Commissioner  
Ontario Securities Commission

“Cecilia Williams”  
Commissioner  
Ontario Securities Commission

OSC File #: 2021/0494

## 2.1.5 Brookfield Property Partners L.P. and Brookfield Property Preferred L.P.

### Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Filers want to put in place a credit support issuer structure, but are unable to rely on the exemption for credit support issuers in applicable securities legislation – Relief granted from continuous disclosure requirements, certification requirements, insider reporting requirements, audit committee requirements and corporate governance requirements – Relief also granted from incorporation by reference requirements, earnings coverage requirements and subsidiary credit supporter requirements – Filers unable to rely on exemption for credit support issuers in applicable securities legislation since the Holding LP and Brookfield Property Partners are partnerships, as well as the fact that Brookfield Property Partners satisfies its continuous disclosure obligations by complying with U.S. federal securities law as is permitted under NI 71-102 – Relief granted subject to conditions.

### Applicable Legislative Provisions

Securities Act, R.S.O. 1990, c. S.5, ss. 107 and 121(2)(a)(ii).

National Instrument 44-101 Short Form Prospectus Distributions, ss. 2.4 and 8.1(2).

Form 44-101F1 Short Form Prospectus, ss. 6.1, 11.1(1), 12.1 and 13.3.

National Instrument 51-102 Continuous Disclosure Obligations, ss. 13.1 and 13.4.

National Instrument 52-109 Certification of Disclosure in Issuers' Annual and Interim Filings, ss. 8.5 and 8.6.

National Instrument 52-110 Audit Committees, ss. 1.2(g) and 8.1.

National Instrument 55-102 System for Electronic Disclosure by Insiders (SEDI), s. 6.1.

National Instrument 58-101 Disclosure of Corporate Governance Practices, ss. 1.3(c) and 3.1(2).

July 2, 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  
BROOKFIELD PROPERTY PARTNERS L.P.  
(BROOKFIELD PROPERTY PARTNERS)  
AND  
BROOKFIELD PROPERTY PREFERRED L.P.  
(the Issuer)**

**DECISION**

### Background

The principal regulator in the Jurisdiction has received an application (the **Application**) from Brookfield Property Partners and the Issuer (collectively, the **Filers**) for a decision under the securities legislation of the principal regulator (the **Legislation**) granting exemptive relief for the Issuer and, in respect of (c), the insiders of the Issuer, from certain requirements including:

- (a) the continuous disclosure requirements contained in the Legislation, including requirements under National Instrument 51-102 — *Continuous Disclosure Obligations (NI 51-102)*, as amended from time to time (the **Continuous Disclosure Requirements**);
- (b) the certification requirements contained in National Instrument 52-109 — *Certification of Disclosure in Issuers' Annual and Interim Filings*, as amended from time to time (the **Certification Requirements**);
- (c) the insider reporting requirements contained in the Legislation under section 107 of the *Securities Act* (Ontario) (the **Act**) as well as the requirement to file an insider profile and insider reports under National Instrument 55-102 — *System for Electronic Disclosure by Insiders*, as amended from time to time, in respect of insiders of the Issuer (the **Insider Reporting Requirements**);

- (d) the requirements of the Legislation relating to audit committees, including, without limitation, National Instrument 52-110 — *Audit Committees*, as amended from time to time (the **Audit Committee Requirements**);
- (e) the corporate governance disclosure requirements contained in National Instrument 58-101 — *Disclosure of Corporate Governance Practices*, as amended from time to time (the **Corporate Governance Requirements** and together with the Continuous Disclosure Requirements, Certification Requirements, Insider Reporting Requirements and Audit Committee Requirements, the **Reporting Issuer Requirements**);
- (f) the disclosure requirements contained in paragraphs 1 to 4 and 6 to 8 of item 11 of Form 44-101F1 — *Short Form Prospectus (Form 44-101F1)* (the **Incorporation by Reference Requirements**);
- (g) the disclosure requirements contained in item 6 of Form 44-101F1 (the **Earnings Coverage Requirements**); and
- (h) the disclosure requirements contained in item 12 of Form 44-101F1 (the **Subsidiary Credit Supporter Requirements** and together with the Incorporation by Reference Requirements and the Earnings Coverage Requirements, the **Prospectus Disclosure Requirements**),

(collectively, the **Exemption Sought**),

in each case to accommodate the issuance by the Issuer of Class A Cumulative Redeemable Preferred Units (the **New LP Preferred Units**). The first series of New LP Preferred Units will be issued in connection with the Arrangement (as defined below). The New LP Preferred Units will be guaranteed by Brookfield Property Partners as well as Brookfield Property L.P. (the **Holding LP**), and each of the Holding Entities (as defined below).

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 Filers have provided notice that section 4.7(1) of Multilateral Instrument 11-102 – *Passport System (MI 11-102)* is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba, Quebec, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, the Northwest Territories, Yukon and Nunavut (collectively with the Jurisdiction, the **Reporting Jurisdictions**).

### Interpretation

Terms defined in National Instrument 14-101 – *Definitions* and MI 11-102 have the same meaning if used in this decision, unless otherwise defined. In this decision, “**Brookfield Property Partners Related Entities**” means, collectively, the Holding LP and subsidiary entities (as this term is defined in Multilateral Instrument 61-101 – *Take-Over Bids and Special Transactions*) of the Holding LP.

### Representations

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

#### **Brookfield Property Partners**

1. Brookfield Property Partners is a Bermuda exempted limited partnership that was established on January 3, 2013.
2. The limited partnership units of Brookfield Property Partners (the **BPY Units**) are listed on the Nasdaq Stock Market (**Nasdaq**) and the Toronto Stock Exchange (**TSX**) under the symbols “BPY” and “BPY.UN”, respectively. As of June 8, 2021, there were 440,808,732 BPY Units issued and outstanding, and approximately 236,285,505 BPY Units, representing approximately 54% of the total issued and outstanding BPY Units, were beneficially and directly held by Canadian residents. In addition, the Class A Cumulative Redeemable Perpetual Preferred Units of Brookfield Property Partners (the **BPY Preferred Units**), Series 1, 2 and 3 trade on Nasdaq under the symbols “BPYPP”, “BPYPO” and “BPYPN”, respectively.
3. Brookfield Property Partners is a reporting issuer in the Reporting Jurisdictions and is not in default of any requirements under applicable securities legislation or the rules and regulations made pursuant thereto in the Reporting Jurisdictions.
4. Brookfield Property Partners is a SEC foreign issuer within the meaning of section 1.1 of National Instrument 71-102 — *Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (NI 71-102)* and satisfies its continuous disclosure obligations by complying with U.S. federal securities laws as is permitted under NI 71-102.
5. The general partner of Brookfield Property Partners is Brookfield Property Partners Limited (**BPY General Partner**), a Bermuda company and also a wholly-owned subsidiary of Brookfield Asset Management Inc. (**BAM**). BPY General

Partner holds a 0.02% general partnership interest in Brookfield Property Partners. The mind and management of BPY General Partner is located in Bermuda.

6. BAM, a Canadian company, is Brookfield Property Partners' largest holder of BPY Units. As of June 8, 2021, BAM owned, directly or indirectly, 139,699,123 BPY Units and 451,365,017 Redemption-Exchange Units (defined below), collectively representing approximately 66% of the BPY Units (assuming the exchange of the Redemption-Exchange Units) or 61% on a fully-exchanged basis assuming the exchange of the Redemption-Exchange Units, the issued and outstanding class A preferred limited partnership units of the Holding LP (the **Class A Preferred Units**), series 1, 2 and 3 and the issued and outstanding exchangeable limited partnership units (the **Exchange LP Units**) of Brookfield Office Properties Exchange LP not held by subsidiaries of Brookfield Property Partners. As of June 8, 2021, BAM also owned, directly or indirectly, 138,875 general partner units of Brookfield Property Partners and 4,759,997 special limited partnership interests in the Holding LP.
7. Brookfield Property Partners' assets consist of a 100% managing general partnership interest in the Holding LP, a Bermuda exempted limited partnership that was established on January 4, 2013 and an interest in BP US REIT LLC.
8. Brookfield Property Partners is the managing general partner of the Holding LP. The Holding LP owns, directly or indirectly, all of the common shares of Brookfield BPY Holdings Inc., an Ontario corporation (**CanHoldco**), Brookfield BPY Retail Holdings II Inc., an Ontario corporation (**CanHoldco 2**), BPY Bermuda Holdings Limited, a Bermuda company (**Bermuda Holdco**), BPY Bermuda Holdings II Limited, a Bermuda company (**Bermuda Holdco 2**), BPY Bermuda Holdings IV Limited, a Bermuda company (**Bermuda Holdco 4**), BPY Bermuda Holdings V Limited, a Bermuda company (**Bermuda Holdco 5**) and BPY Bermuda Holdings VI Limited (**Bermuda Holdco 6**) and, collectively with CanHoldco, CanHoldco 2, Bermuda Holdco, Bermuda Holdco 2, Bermuda Holdco 4 and Bermuda Holdco 5, the **Holding Entities**.
9. Brookfield Property Partners, the Holding LP and related entities have retained BAM (together with its subsidiaries other than Brookfield Property Partners and its subsidiaries, **Brookfield**) and its related entities to provide management, administrative and advisory services under a second amended and restated master services agreement dated as of August 27, 2018, as may be amended from time to time.
10. Brookfield Property Partners indirectly owns 100% of CanHoldco's issued and outstanding securities except for all of issued and outstanding (i) Class A Senior Preference Shares, Series 1, which are held by Brookfield and (ii) Class B Junior Preference Shares, Series 1, which are held by Brookfield (collectively the **Current Preference Shares**). The Current Preference Shares have an aggregate voting entitlement of 2% of the aggregate votes entitled to be cast at a meeting of the shareholders. Brookfield Property Partners therefore indirectly controls 98% of the voting securities of CanHoldco.

#### **The Issuer**

11. The Issuer is an exempted limited partnership that was formed under the laws of Bermuda on April 13, 2021. The Issuer's registered office is 73 Front Street, 5th Floor, Hamilton, HM 12, Bermuda and its sole general partner is the Holding LP.
12. The Issuer is intending to participate in a plan of arrangement (the **Arrangement**) of BPY Arrangement Corporation intended to, among other things, allow Brookfield to acquire, directly or indirectly, all of the issued and outstanding BPY Units, Exchange LP Units and shares of class A stock in the capital of Brookfield Property REIT Inc. (together, the **Acquired Securities**).
13. The Issuer was formed for the purposes of being an issuer of New LP Preferred Units and to provide the first series of such New LP Preferred Units as part of the consideration for the acquisition by Brookfield of the Acquired Securities in connection with the Arrangement. Following the issuance of New LP Preferred Units, the New LP Preferred Units will be listed on the TSX and the Nasdaq and the Issuer will become a reporting issuer in the jurisdictions of Canada in which Brookfield Property Partners is currently a reporting issuer.
14. The Issuer has not carried on any active business since formation other than activities related to the Arrangement.
15. The authorized capital of the Issuer currently consists of: (i) limited partnership units, (ii) general partnership units and (iii) New LP Preferred Units.
16. As of the date hereof, CanHoldco owns all of the issued and outstanding limited partnership units of the Issuer, the Holding LP owns 100% of the issued and outstanding general partnership units and there are no issued and outstanding New LP Preferred Units.
17. The New LP Preferred Units will have rights, restrictions and privileges determined by the Holding LP as the sole general partner of the Issuer.

18. In connection with the Arrangement, the Issuer will agree to issue the first series of New LP Preferred Units to holders of Acquired Securities, who so elect or are deemed to have elected pursuant to the terms of the plan of arrangement governing the Arrangement.
19. In connection with the issuance of the New LP Preferred Units, Brookfield Property Partners, the Holding LP, and each of the Holding Entities (collectively, the **Guarantors**) will each provide full and unconditional joint and several guarantees (collectively, the **Guarantees**) of the payments to be made by the Issuer in respect of the New LP Preferred Units as stipulated in agreements governing the rights of holders of the New LP Preferred Units, that will result in the holders of such securities being entitled to receive payment from the Guarantors within 15 days of any failure by the Issuer to make a payment, as contemplated by paragraph (d) of the definition of “designated credit support security” in NI 51-102. The Guarantees in respect of the New LP Preferred Units will rank *pari passu* with certain senior preferred limited partnership units or preference shares of the Guarantors and junior to certain other obligations of the Guarantors. The Guarantees are expected to be in place by the time of the issuance of New LP Preferred Units at the completion of the Arrangement.

**BAM**

20. BAM is currently a reporting issuer under applicable Canadian securities laws, and will continue to be a reporting issuer upon completion of the Arrangement. BAM’s Class A limited voting shares are currently co-listed on the New York Stock Exchange (**NYSE**) under the symbol “BAM” and the TSX under the symbol “BAM.A.”.
21. After the completion of the Arrangement, Brookfield will directly and indirectly own all of the issued and outstanding BPY Units, and the BPY Units will be delisted from the TSX and the Nasdaq. The BPY Preferred Units will remain outstanding and listed on Nasdaq.

**The Filers and the Holding LP and the Holding Entities**

22. The Holding LP owns, directly or indirectly, all of the issued and outstanding common shares of all the Holding Entities and Brookfield owns all of the Current Preference Shares. The Current Preference Shares are redeemable for cash at the option of CanHoldco, subject to certain limitations. The Current Preference Shares are entitled to vote with the common shares of CanHoldco. The Current Preference Shares are not equity securities as such term is defined in the Act. The voting rights attached to the Current Preference Shares represent 2% of the votes to be cast by shareholders of CanHoldco; therefore they should be disregarded when considering the overall relationship between Brookfield Property Partners, the Issuer, the Holding LP and the Holding Entities.
23. The definitions of “subsidiary” and “beneficial ownership of securities” that apply under the Act only refer to the ownership or control of companies, as opposed to partnerships, and do not clearly capture the relationship that exists among the Filers and the Holding LP. However, Brookfield Property Partners acts as the managing general partner of the Holding LP, holding a 100% managing general partnership interest in the Holding LP, and therefore controls the Holding LP directly. As a result, Brookfield Property Partners consolidates the Holding LP (and all of the Holding LP’s assets, including the Holding Entities) in its financial statements.
24. Brookfield Property Special L.P. (**Property Special LP**), a Brookfield subsidiary, holds a 0.53% special limited partnership interest (the **Special Limited Partnership Units**) in the Holding LP. An institutional investor holds Class A Preferred Units, series 1, 2 and 3. Brookfield Property Partners holds Class A Preferred Units, series 5, 6 and 7. The remaining limited partnership interests (the **Redemption-Exchange Units**) in the Holding LP are held by Brookfield. Property Special LP is the sole holder of the Special Limited Partnership Units. Brookfield is the sole holder of the Redemption-Exchange Units.
25. The Special Limited Partnership Units are non-voting interests in the Holding LP and are not redeemable or exchangeable. The Class A Preferred Units are non-voting interests in the Holding LP and series 1, 2 and 3 are exchangeable into BPY Units upon exchange, redemption or maturity. The Redemption-Exchange Units are subject to a redemption-exchange mechanism pursuant to which Brookfield has the right to require that the Holding LP redeem all or a portion of its Redemption-Exchange Units for a cash amount equal to the fair market value of one BPY Unit multiplied by the number of Redemption-Exchange Units to be redeemed. In connection with the redemption, Brookfield Property Partners has the right to purchase all the Redemption-Exchange Units to be redeemed in exchange for BPY Units on a one for one basis. The characteristics of the redemption-exchange mechanism associated with Brookfield’s Redemption-Exchange Units are such that the economic interest of Brookfield is an economic interest in Brookfield Property Partners rather than the Holding LP.
26. BPY General Partner holds a 0.02% general partnership interest in Brookfield Property Partners and acts as the general partner of Brookfield Property Partners. BPY General Partner is wholly-owned by Brookfield.
27. The Guarantors will be “credit supporters” of the Issuer and the Issuer will be a “credit support issuer” when it issues New LP Preferred Units (as such terms are defined in NI 51-102).



28. The Issuer, and the relationship between the Issuer and Brookfield Property Partners, satisfies the requirements of section 13.4(2.1) of NI 51-102 in all respects, other than: (i) the fact that the Issuer, the Holding LP and Brookfield Property Partners are partnerships and (ii) the fact that Brookfield Property Partners satisfies its continuous disclosure obligations by complying with U.S. federal securities law as is permitted under NI 71-102.
29. Brookfield Property Partners will not directly satisfy the definition of “parent credit supporter” (as defined in NI 51-102) when the Issuer issues New LP Preferred Units as a result of the indirect ownership of the Issuer through the Holding LP. Therefore, the New LP Preferred Units will not be “designated credit support securities” (as defined in Part 13.4 of NI 51-102). If the Requested Relief is granted, the Filers will (i) treat Brookfield Property Partners as a “parent credit supporter” and comply with the conditions in section 13.4(2.1) of NI 51-102 that apply to parent credit supporters and (ii) treat the New LP Preferred Units as “designated credit support securities” and comply with the conditions in section 13.4(2.1) of NI 51-102 that apply to designated credit support securities, in accordance with the terms and conditions of the decision document.
30. The New LP Preferred Units will satisfy the definition of “designated credit support securities” (as defined in Part 13.4 of NI 51-102), but for the fact that Brookfield Property Partners will not directly satisfy the definition of “parent credit supporter” (as defined in Part 13.4 of NI 51-102).
31. Brookfield Property Partners does not meet the test set forth in section 13.4(2)(a) of NI 51-102 as it does not directly satisfy the definition of “parent credit supporter” (as defined in Part 13.4 of NI 51-102) and, by virtue of section 13.4(4) of NI 51-102, will be unable to meet the test set forth in section 13.4(2)(b)(ii) of NI 51-102 as it satisfies its continuous disclosure obligations by complying with U.S. federal securities law as is permitted under NI 71-102. Therefore, the Requested Relief is required in order for the provisions of section 13.4 of NI 51-102 to apply to the Issuer, and the relationship between the Issuer and Brookfield Property Partners.

### **Decision**

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

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

1. in respect of the Continuous Disclosure Requirements, the Issuer and Brookfield Property Partners continue to satisfy the conditions set out in subsection 13.4(2.1) of NI 51-102, except as modified as follows:
  - (a) any reference to parent credit supporter in section 13.4 shall be deemed to include Brookfield Property Partners notwithstanding its indirect ownership of the Issuer through the Holding LP,
  - (b) any reference to subsidiary credit supporter in section 13.4 of NI 51-102 shall be deemed to include the Holding Entities and their affiliates, including the Brookfield Property Partners Related Entities, notwithstanding Brookfield Property Partners’ indirect ownership of such entities through the Holding LP,
  - (c) Brookfield Property Partners does not have to comply with the conditions in section 13.4(2)(a) and section 13.4(2.1)(b) of NI 51-102 if:
    - (i) no party other than Brookfield Property Partners and Brookfield will have any direct or indirect ownership of, or control or direction over, voting securities of the Holding LP,
    - (ii) no party other than Brookfield Property Partners, Brookfield and the Brookfield Property Partners Related Entities will have any direct or indirect ownership of, control or direction over, voting securities of the Holding Entities,
    - (iii) no party other than Brookfield Property Partners, Brookfield and the Brookfield Property Partners Related Entities, will have any direct or indirect ownership of, or control or direction over, voting securities of the Issuer,
    - (iv) Brookfield Property Partners consolidates in its financial statements the Holding LP, the Holding Entities and the Issuer as well as any entities consolidated by any of the foregoing and, if the Issuer has issued New LP Preferred Units that remain outstanding, files its financial statements pursuant to Part 4 of NI 51-102, except that Brookfield Property Partners does not have to comply with the conditions in section 4.2 of NI 51-102 if it files such financial statements on or before the date that it is required to file its Form 20-F with the U.S. Securities and Exchange Commission (**SEC**), and

- (v) other than the Current Preference Shares owned by Brookfield, the issued and outstanding voting securities of the Holding Entities and the Issuer are 100% owned, directly or indirectly, by their respective parent companies or entities,
  - (d) section 13.4(4) of NI 51-102 does not apply to Brookfield Property Partners (the **SEC Foreign Issuer Relief**) if:
    - (i) Brookfield Property Partners continues to be a reporting issuer,
    - (ii) Brookfield Property Partners continues to be a SEC foreign issuer (as defined in section 1.1 of NI 71-102) and only relies on the exemptions in Part 4 of NI 71-102,
    - (iii) to the extent that Brookfield Property Partners complies with the foreign private issuer disclosure regime under U.S. securities law, it does not rely on any exemption from that regime,
    - (iv) if the Issuer has issued New LP Preferred Units that remain outstanding, the summary financial information referred to in section 13.4(2.1)(c) of NI 51-102 will be reconciled to the consolidated financial statements of Brookfield Property Partners, including any minority interest adjustments,
    - (v) Brookfield Property Partners continues to file a material change report as set out in Part 7 of NI 51-102 in respect of any material change in the affairs of Brookfield Property Partners that is not reported or filed by Brookfield Property Partners on SEC Form 6-K,
    - (vi) Brookfield Property Partners continues to file an interim financial report as set out in Part 4 of NI 51-102 and the Management Discussion and Analysis as set out in Part 5 of NI 51-102 for each period commencing on the first day of the financial year and ending nine, six or three months before the end of the financial year, and
    - (vii) Brookfield Property Partners includes in any prospectus of the Issuer financial statements or other information about any acquisition that would have been or would be a significant acquisition for the purposes of Part 8 of NI 51-102 that Brookfield Property Partners has completed or has progressed to a state where a reasonable person would believe that the likelihood of Brookfield Property Partners completing the acquisition is high if the inclusion of the financial statements is necessary for the prospectus to contain full, true and plain disclosure of all material facts relating to the securities being distributed. The requirement to include financial statements or other information must be satisfied by including or incorporating by reference (a) the financial statements or other information as set out in Part 8 of NI 51-102, or (b) satisfactory alternative financial statements or other information, unless at least 9 months of the operations of the acquired business or related businesses are incorporated into Brookfield Property Partners' current annual financial statements included or incorporated by reference in the prospectus of the Issuer,
  - (e) the Issuer does not have to comply with the conditions in section 13.4(2)(c) of NI 51-102 if the Issuer does not issue any securities and does not have any securities outstanding other than:
    - (i) designated credit support securities,
    - (ii) securities issued to and held by Brookfield Property Partners or the Brookfield Property Partners Related Entities,
    - (iii) non-voting securities held by Brookfield,
    - (iv) debt securities issued to and held by banks, loan corporations, loan and investment corporations, savings companies, trust corporations, treasury branches, saving or credit unions, financial services cooperatives, insurance companies or other financial institutions,
    - (v) securities issued under exemptions from the prospectus requirements in section 2.35 of National Instrument 45-106 – *Prospectus and Registration Exemptions*, and
    - (vi) New LP Preferred Units, provided that the Guarantors have provided Guarantees in respect of such securities.
2. in respect of the Certification Requirements, the Audit Committee Requirements and the Corporate Governance Requirements, Brookfield Property Partners and the Issuer continue to satisfy the conditions for relief from the Continuous Disclosure Requirements set forth above.

## Decisions, Orders and Rulings

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3. in respect of the Insider Reporting Requirements, an insider of the Issuer can only rely on the Exemption Sought so long as:
- (a) the insider complies with the conditions in sections 13.4(3)(b) and (c) of NI 51-102, and
  - (b) Brookfield Property Partners and the Issuer continue to satisfy the conditions for relief from the Continuous Disclosure Requirements set forth above.
4. in respect of the Prospectus Disclosure Requirements so long as:
- (a) any preliminary short form prospectus of the Issuer is in respect of an offering of New LP Preferred Units,
  - (b) the Issuer becomes, on or before the issuance of New LP Preferred Units to the public, and thereafter remains so long as any of the New LP Preferred Units issued to the public remain outstanding, an electronic filer under National Instrument 13-101 – *System for Electronic Document Analysis and Retrieval (SEDAR)*,
  - (c) the Issuer creates a profile on SEDAR prior to the issuance of New LP Preferred Units to the public,
  - (d) the Issuer and Brookfield Property Partners satisfy the conditions set out in section 13.3 of Form 44-101F1, except as modified as follows:
    - (i) any reference to parent credit supporter in section 13.3 of Form 44-101F1 shall be deemed to include Brookfield Property Partners notwithstanding its indirect ownership of the Issuer through the Holding LP,
    - (ii) any reference to subsidiary credit supporter in section 13.3 of Form 44-101F1 shall be deemed to include the Holding Entities and their affiliates, including the Brookfield Property Partners Related Entities, notwithstanding Brookfield Property Partners' indirect ownership of such entities through the Holding LP,
    - (iii) Brookfield Property Partners does not have to comply with the conditions in sections 13.3(1)(e) and 13.3(1)(f) of Form 44-101F1 if it meets the conditions in paragraph 1(c) of this decision above, and
    - (iv) the summary financial information referred to in section 13.3(1)(g) of Form 44-101F1 will be reconciled to the consolidated financial statements of Brookfield Property Partners, including any minority interest adjustments,
  - (e) any preliminary short form prospectus and final short form prospectus of the Issuer contains (or incorporates by reference a document containing) a corporate organizational chart showing the ownership and control relationships among Brookfield, Brookfield Property Partners, the BPY General Partner, the Holding LP, the Holding Entities and the Issuer,
  - (f) Brookfield Property Partners and the Issuer continue to satisfy the conditions for relief from the Continuous Disclosure Requirements set forth above,
  - (g) all of the outstanding voting securities of the Issuer are held directly or indirectly by the Holding LP, and
  - (h) the Issuer will issue a news release and file a material change report as set out in Part 7 of NI 51-102 in respect of any material change in the affairs of the Issuer that is not also a material change in the affairs of Brookfield Property Partners.

As to the Exemption Sought (other than from the Insider Reporting Requirements in the Securities Act (Ontario)).

“Lina Creta”  
Manager, Corporate Finance  
Ontario Securities Commission

As to the Exemption Sought from the Insider Reporting Requirements in the Securities Act (Ontario).

“Cecilia Williams”  
Commissioner  
Ontario Securities Commission

“Craig Hayman”  
Commissioner  
Ontario Securities Commission

2.2 Orders

2.2.1 Trevor Rosborough – s. 144

IN THE MATTER OF  
TREVOR ROSBOROUGH

M. Cecilia Williams, Commissioner and Chair of the Panel

October 8, 2021

**ORDER**

(Section 144 of the *Securities Act*, RSO 1990, c S.5)

**WHEREAS** the Ontario Securities Commission (the **Commission**) held a hearing in writing to consider an Application made by Trevor Rosborough (**Rosborough**), dated October 4, 2021 to vary the terms of an order issued by the Commission on August 25, 2021 (the **Order of August 25, 2021**) relating to a settlement agreement between Rosborough and Staff of the Commission (**Staff**) dated July 28, 2021;

**ON READING** the Application Record, including the Affidavit of Rosborough affirmed October 4, 2021, and Rosborough's Undertaking to the Commission dated October 4, 2021, attached as Schedule "A" to this Order, and on being advised that Staff consents to the making of this order;

**IT IS ORDERED THAT:**

1. pursuant to s. 5.1 of the *Statutory Powers Procedure Act*, RSO 1990, c S.22 and Rule 23 of the Commission's *Rules of Procedure and Forms*, (2019) 42 OSCB 9714 this Application is heard in writing; and
2. pursuant to s. 144(1) of the *Securities Act*, RSO 1990, c S.5, notwithstanding any of the provisions contained in the Order of August 25, 2021, within 30 days from the date of this Order, Rosborough is permitted to initiate and complete the transfer of the securities presently being held in his TD Direct Investing Trading account (USD and CAD), as listed on Schedule "A" to the Undertaking, to his wife Kayla Paige Baines, and Rosborough may provide any necessary direction to complete these transfers.

"M. Cecilia Williams"

**Schedule "A"**

**UNDERTAKING OF TREVOR ROSBOROUGH TO  
THE ONTARIO SECURITIES COMMISSION**

1. This Undertaking is given in connection with my Application, dated October 4, 2021, to vary the terms of an order issued by the Ontario Securities Commission (**Commission**) on August 25, 2021 relating to a settlement agreement between Staff of the Commission and I dated July 28, 2021.
2. In the event the Commission grants the variance sought in my Application, I undertake to the Commission that:
  - (a) the securities presently being held in my TD Direct Investing Trading account (USD and CAD), as listed on Schedule "A" to this Undertaking (the **Securities**), will be transferred to an account opened only in the name of my wife, Kayla Paige Baines, over which she exercises sole authority and control; and
  - (b) after the transfers are complete, I will not trade or engage in any acts in furtherance of trading the Securities, including but not limited to indirectly trading the Securities through my wife.

**DATED** at Strathroy, Ontario this 4th day of October, 2021.

"Valerie Linker-Arruda"  
Witness

"Trevor Rosborough"

Schedule "A" to the Undertaking

Symbol	Security Name	Quantity
GLXY	GALAXY DIGITAL HLDGS LTD	7,078
GLDN	GOLDEN RIDGE RES LTD	9,900
ID	IDENTILLECT TECHNOLOGIES	948,000
JWCA.H	JAMES E. WAGNER CULTIVATIN	14,500
SAYFF	3 SIXTY RISK SOLUTIONS LT	282,085
TTT	TRUTRACE TECHNOLOGIES INC	43,947
MARA	MARATHON DIGITAL HLDG INC	550
SOS	SOS LTD SPON/ADR	810

## 2.2.2 Inner Spirit Holdings Ltd.

### 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 – issuer has outstanding warrants exercisable into securities of the acquirer – warrant holders no longer require public disclosure in respect of the issuer – relief granted.

### Applicable Legislative Provisions

Securities Act, R.S.A., 2000, c. S-4, s. 153.

**Citation:** *Re Inner Spirit Holdings Ltd.*, 2021 ABASC 160

October 7, 2021

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

**AND**

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

**AND**

**IN THE MATTER OF  
INNER SPIRIT HOLDINGS LTD.  
(the Filer)**

**ORDER**

### Background

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

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

- (a) the Alberta Securities Commission is the principal regulator for this application;
- (b) 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 the Provinces of British Columbia, Saskatchewan, Manitoba, New Brunswick, Nova Scotia, Prince Edward Island and Newfoundland and Labrador; 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 is incorporated under the *Business Corporations Act* (Alberta) with its head office located in Calgary, Alberta.
2. Pursuant to a plan of arrangement under section 193 of the *Business Corporations Act* (Alberta) approved by the Filer's shareholders on July 14, 2021, and completed on July 20, 2021 (the **Arrangement**), all of the issued and outstanding common shares of the Filer (the **Filer Shares**) were acquired by Sundial Growers Inc. (**Sundial**) for consideration per

Filer Share consisting of (i) \$0.30 in cash and (ii) 0.0835 of a common share of Sundial (the **Arrangement Consideration**) and, as a result of the Arrangement, the Filer became a wholly owned subsidiary of Sundial.

3. Sundial is a corporation existing under the *Business Corporations Act* (Alberta). The authorized share capital of Sundial consists of an unlimited number of common shares (the **Sundial Shares**). The Sundial Shares are listed on the NASDAQ under the symbol "SNDL". Sundial is a reporting issuer in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon and Nunavut and is not in default of securities legislation in any of such jurisdictions.
4. Pursuant to the Arrangement, the common share purchase warrants (other than broker warrants) (the **Inner Spirit Indenture Warrants**) of the Filer issued under the warrant indenture dated March 31, 2021, as supplemented by a supplemental indenture dated September 2, 2021 (the **Warrant Indenture**), or issued under warrant certificates (collectively with the Inner Spirit Indenture Warrants, the **Inner Spirit Non-Broker Warrants**) will remain outstanding in accordance with the terms set out in the respective warrant certificates or the Warrant Indenture and, following the Arrangement, will entitle the holder thereof to receive, upon the exercise or conversion of such Inner Spirit Non-Broker Warrant, the Arrangement Consideration, in lieu of each Filer Share to which such holder was theretofore entitled. Any fractional Sundial Shares that Sundial may be required to issue to a holder of Inner Spirit Non-Broker Warrants upon exercise of such warrant shall be rounded down to the nearest whole number and such holder will be entitled to receive a cash payment (rounded up to the nearest whole cent) equal to the product of (x) \$1.0827, and (y) the fraction of a Sundial Share otherwise issuable.
5. All outstanding broker warrants of the Filer (the **Inner Spirit Broker Warrants**) will remain outstanding and entitle the holder thereof to receive, upon the exercise or conversion of such Inner Spirit Broker Warrant, in accordance with its terms (a) in lieu of each Filer Share to which such holder was theretofore entitled upon such exercise or conversion but for the same aggregate consideration payable therefor, the Arrangement Consideration, and (b) one-half of one Inner Spirit Indenture Warrant. Any fractional Sundial Shares that Sundial may be required to issue to a holder of Inner Spirit Broker Warrants upon exercise of such warrant shall be rounded down to the nearest whole number and such holder will be entitled to receive a cash payment (rounded up to the nearest whole cent) equal to the product of (x) \$1.0827, and (y) the fraction of a Sundial Share otherwise issuable.
6. To the best of the Filer's knowledge and belief and based on the distribution certificate provided by the co-lead underwriter of the offering pursuant to which the Inner Spirit Indenture Warrants were distributed, there are 63 holders of Inner Spirit Indenture Warrants, 15 of which are in British Columbia (139,250 Inner Spirit Indenture Warrants representing 0.68% of the total aggregate Inner Spirit Indenture Warrants), 10 of which are in Alberta (1,011,000 Inner Spirit Indenture Warrants representing 4.92% of the total aggregate Inner Spirit Indenture Warrants), 30 of which are in Ontario (7,972,300 Inner Spirit Indenture Warrants representing 38.82% of the total aggregate Inner Spirit Indenture Warrants), one of which is in Nova Scotia (67,500 Inner Spirit Indenture Warrants representing 0.33% of the total aggregate Inner Spirit Indenture Warrants), one of which is in the United States of America (2,750,000 Inner Spirit Indenture Warrants representing 13.39% of the total aggregate Inner Spirit Indenture Warrants) and six of which are in other foreign jurisdictions (8,598,950 Inner Spirit Indenture Warrants representing 41.87% of the total aggregate Inner Spirit Indenture Warrants).
7. To the best of the Filer's knowledge and belief, there is one holder of Inner Spirit Non-Broker Warrants issued pursuant to a warrant certificate, which is in Alberta (712,553 Inner Spirit Non-Broker Warrants).
8. To the best of the Filer's knowledge and belief, there are three holders of Inner Spirit Broker Warrants, of which one is in Alberta (287,546 Inner Spirit Broker Warrants representing 10% of the total aggregate Inner Spirit Broker Warrants) and two are in Ontario (2,587,914 Inner Spirit Broker Warrants representing 90% of the total aggregate Inner Spirit Broker Warrants).
9. Following the effective time of the Arrangement, Sundial is obligated to meet the Filer's obligations upon exercise or conversion of the Inner Spirit Non-Broker Warrants and the Inner Spirit Broker Warrants and, in connection with the Arrangement, Sundial Shares were authorized for issuance upon the exercise of the Inner Spirit Non-Broker Warrants and the Inner Spirit Broker Warrants.
10. The outstanding securities of the Filer, including debt securities, other than the Inner Spirit Non-Broker Warrants and the Inner Spirit Broker Warrants, 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.
11. The Filer does not have any securities outstanding other than the Filer Shares, the Inner Spirit Non-Broker Warrants and the Inner Spirit Broker Warrants.
12. The Filer distributed the meeting materials (which included the information circular, notice of meeting, notice of application, and the interim order) to the holders of the Filer Shares, in connection with the special meeting of holders of Filer Shares that took place on July 14, 2021 to consider the Arrangement, in accordance with the interim order of the Court of Queen's Bench of Alberta dated June 10, 2021.



## Decisions, Orders and Rulings

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13. The Filer Shares, the Filer's previously outstanding 12% senior secured convertible debentures due June 30, 2022 and the Inner Spirit Non-Broker Warrants were delisted from the Canadian Securities Exchange (**CSE**) on July 20, 2021 and the Filer Shares were withdrawn from the OTCQB Venture Market before market open on July 22, 2021. The Inner Spirit Broker Warrants were at no time listed on any securities exchange.
14. The Filer is not an OTC reporting issuer under Multilateral Instrument 51-105 *Issuers Quoted in the U.S. Over-the-Counter Markets*.
15. 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.
16. 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.
17. The Filer is not required to remain a reporting issuer pursuant to the terms of the Warrant Indenture, the Inner Spirit Broker Warrants or the warrant certificates representing Inner Spirit Non-Broker Warrants. The terms of such instruments contain provisions addressing, amongst others, a corporate merger, amalgamation, arrangement, or business combination, including the Arrangement, and provide for the payment of the Arrangement Consideration in lieu of the Filer Shares subsequent to such an event. As a result, no consents or approvals were required from the holders of the Inner Spirit Non-Broker Warrants and the Inner Spirit Broker Warrants.
18. Upon granting of the Order Sought, the Filer will not be a reporting issuer or the equivalent in any jurisdiction of Canada.
19. The Filer has no intention to seek financing by way of any offering of its securities.
20. The Filer is not in default of securities legislation in any jurisdiction in which it is a reporting issuer, other than the obligation to file by August 30, 2021 its interim financial statements, management's discussion and analysis and certification of interim filings for the interim period ended June 30, 2021.
21. The Filer is not eligible to surrender its status as a reporting issuer pursuant to the simplified procedure under subsection 19(d) in National Policy 11-206 *Process for Cease to be a Reporting Issuer Applications* because the Filer is in default of securities legislation as described above and the Inner Spirit Non-Broker Warrants and the Inner Spirit Broker Warrants are not 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.

### Decision

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

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

"Timothy Robson"  
Manager, Legal  
Corporate Finance  
Alberta Securities Commission

### 2.2.3 Luminex 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 – issuer in default of securities legislation – relief granted.

#### Applicable Legislative Provisions

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

September 7, 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  
LUMINEX CORPORATION  
(the Filer)**

**ORDER**

#### Background

The principal regulator in the Jurisdiction has received an application from the Filer for an order (the **Order Sought**) 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 **Jurisdictions**).

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

- (a) the Ontario Securities Commission is the principal regulator for this application; and
- (b) the Filer has provided notice that subsection 4C.5(1) of Multilateral Instrument 11-102 *Passport System* (MI 11-102) is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Manitoba and Quebec.

#### 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 laws of the State of Texas in May 1995 and reincorporated in the State of Delaware on June 19, 1998. The head office of the Filer is located at 12212 Technology Blvd., Austin, Texas, 78727. The Filer is a Delaware corporation.
2. The Filer is a "reporting issuer" for the purposes of securities legislation in the Jurisdictions.
3. On March 1, 2007, the TM Bioscience Corporation ("**TBC**"), a then reporting issuer, completed a plan of arrangement (the "**Plan of Arrangement**") whereby the Filer acquired all of the outstanding common shares of TBC. The Plan of Arrangement also effected the exchange of all outstanding options and warrants to acquire common shares of TBC into options and warrants to acquire shares of the Filer. In accordance with the Plan of Arrangement and related transactions, the Filer became a "reporting issuer" for the purposes of securities legislation in the Jurisdictions.

4. Prior to the completion of the Acquisition (as defined below), the Filer's common shares were listed for trading on the NASDAQ Market LLC (the "**NASDAQ**") under the symbol "LMNX" and the Filer was subject to the reporting obligations of the Securities and Exchange Commission of the United States ("**SEC**"). None of the Filer's securities, including debt securities, were listed, quoted or traded on a marketplace or exchange in Canada and there was no market for the Filer's securities in Canada.
5. On April 11, 2021, the Filer entered into an agreement and plan of merger with DiaSorin S.p.A. ("**DiaSorin**"), a società per azioni organized under the laws of the Republic of Italy, and Diagonal Subsidiary Inc. ("**Merger Subsidiary**"), a Delaware corporation and wholly owned indirect subsidiary of DiaSorin, pursuant to which DiaSorin acquired the Filer by way of a merger (the "**Merger**") of the Merger Subsidiary with and into the Filer in an all-cash deal valued at approximately US\$1.8 billion (the "**Acquisition**").
6. The Acquisition was completed on July 14, 2021, at which time the Filer, as the surviving corporation of the Merger, (i) became a wholly owned indirect subsidiary of DiaSorin and (ii) ceased to be a publicly traded company. The former securityholders of the Filer ceased to hold any shares of capital stock or other securities of the Filer, and did not receive any shares of capital stock or other securities of DiaSorin in connection with the Acquisition.
7. In connection with the completion of the Acquisition, the Filer's securities were delisted from NASDAQ on July 24, 2021. On July 26, 2021 the Filer filed a Certification and Notice of Termination of Registration under Section 12(g) of the *Securities Exchange Act of 1934* (as amended) (the "**Exchange Act**") with the SEC at which time the Filer's reporting obligations were immediately suspended under Section 13(a) of the Exchange Act, and the Filer's securities will be fully deregistered under the Exchange Act on October 25, 2021.
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 Filer does not have any securities outstanding other than the common stock held by DiaSorin. 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. The Filer's outstanding securities, including debt securities, are not traded in Canada, the United States 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 in Canada in which it is a reporting issuer.
12. The Filer is not in default of any of the requirements of securities legislation in the Jurisdictions, the requirements of the SEC or the NASDAQ, or any other securities or corporate legislation to which it is subject, except as described in (12)(i) and (12)(ii) below (the "**Defaults**"):
  - i. the failure to file its proxy statements/management information circulars, as amended, and related shareholder meeting materials on the Filer's SEDAR profile at [www.sedar.com](http://www.sedar.com) in respect of the meetings held on each of May 21, 2009, May 19, 2011, May 17, 2012, May 16, 2013, May 15, 2014, May 14, 2015, May 19, 2016, May 18, 2017, May 17, 2018, May 16, 2019, May 21, 2020, May 20, 2021 and June 21, 2021 (collectively, the "**Proxy Materials**") and the results thereof; and
  - ii. the failure to file any material change reports or, alternatively, current reports filed with or furnished to the SEC in satisfaction of such requirement pursuant to section 4.2 of National Instrument 71-102 – *Continuous Disclosure and Other Exemptions Relating to Foreign Issuers*.
13. All Proxy Materials of the Filer and other materials required to be filed by the Filer under U.S. securities laws, including those not filed on SEDAR in respect of the Defaults, are available on the Filer's EDGAR profile under the filings section of the SEC website ([www.sec.gov](http://www.sec.gov)).
14. The Filer is not eligible to use the simplified procedure set out in National Policy 11-206 - *Process for Cease to be a Reporting Issuer Applications* because of the Defaults.
15. The Filer, upon granting of the Order Sought, will no longer be a reporting issuer in any of the Jurisdictions.

**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.

“Lawrence Haber”  
Commissioner  
Ontario Securities Commission

“Craig Hayman”  
Commissioner  
Ontario Securities Commission

OSC File #: 2021/0391

2.3 Orders with Related Settlement Agreements

2.3.1 Daniel Sheehan – ss. 127, 127.1

File No. 2020-38

IN THE MATTER OF  
DANIEL SHEEHAN

Wendy Berman, Vice-Chair and Chair of the Panel

October 7, 2021

**ORDER**

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

**WHEREAS** on October 7, 2021, the Ontario Securities Commission (the **Commission**) held a hearing by videoconference to consider the request made jointly by Daniel Sheehan (**Sheehan**) and Staff of the Commission (**Staff**) for approval of a settlement agreement dated October 4, 2021 (the **Settlement Agreement**);

**ON READING** the Joint Application for Settlement Hearing, including the Statement of Allegations dated November 3, 2020 and the Settlement Agreement, and the written submissions of Staff, and on hearing the submissions of Staff and the representative for Sheehan, and on considering Sheehan having made payment of each of \$1,600,000 and \$100,000 to the Commission in accordance with the terms of the Settlement Agreement and on considering the undertaking of Sheehan dated August 27, 2021 and attached as Schedule “A” to this Order;

**IT IS ORDERED**, with reasons to follow, that:

1. the Settlement Agreement is approved;
2. The voluntary payment of \$1,600,000 made by Sheehan to the Commission is designated for allocation or use by the Commission in accordance with subsections 3.4(2)(b)(i) or (ii) of the Act;
3. Sheehan shall pay costs of the Commission's investigation in the amount of \$100,000, pursuant to section 127.1 of the Act.

“Wendy Berman”

**SCHEDULE "A"**

**IN THE MATTER OF  
DANIEL SHEEHAN**

**UNDERTAKING TO THE ONTARIO SECURITIES COMMISSION**

1. This Undertaking is given in connection with the settlement agreement dated October 4, 2021 (the **Settlement Agreement**) between Daniel Sheehan (**Sheehan**) and staff (**Staff**) of the Ontario Securities Commission (the **Commission**). All terms shall have the same meanings in this Undertaking as in the Settlement Agreement.
2. Sheehan undertakes to the Commission to:
  - (a) not apply for registration for a period of one year following the date of the Order approving the Settlement Agreement.

**Dated** at Mississauga, Ontario this 27<sup>th</sup> day of August, 2021.

"Daniel Sheehan"

IN THE MATTER OF  
DANIEL SHEEHAN

SETTLEMENT AGREEMENT

**PART I – INTRODUCTION AND STAFF’S REGULATORY MESSAGE**

1. During the 10-year period from September 28, 2009 to April 30, 2019 (the **Material Time**), Daniel Sheehan (**Sheehan**) raised approximately \$25 million from about 50 investors, invested that money in public equities and fixed income securities and received approximately \$21 million in compensation for these investment services. Sheehan carried on this activity through Sheehan Associates Limited Partnership (**SALP**), an Ontario limited partnership formed on September 1, 1999 with its registered office in Mississauga, Ontario.
2. During the Material Time, Sheehan was the general partner of SALP and had full power and authority to operate and make all decisions regarding the business of the limited partnership, including all investment decisions. At no time was Sheehan registered under the *Securities Act*, RSO 1990, c. S.5 (the **Act**) to engage in the business of trading or advising in securities or to act as an investment fund manager.
3. Registration is a cornerstone of Ontario securities law. The registration requirement serves an important gate-keeping function to protect investors by ensuring that only a suitable and qualified person acts as an investment fund manager or engages in the business of trading or advising in securities. Additionally, registrants under the Act are subject to a robust regulatory regime that requires applicants to submit to a detailed application process for registration as well as to ongoing oversight by the Commission and other important safeguards designed to protect investors.
4. The parties will jointly file a request that the Ontario Securities Commission (the **Commission**) issue a Notice of Hearing to announce that it will hold a hearing (the **Settlement Hearing**) to consider whether, pursuant to sections 127 and 127.1 of the Act, it is in the public interest for the Commission to make certain orders against the Respondent.

**PART II – JOINT SETTLEMENT RECOMMENDATION**

5. Staff agree to recommend settlement of the proceeding commenced by the Notice of Hearing (the **Proceeding**) against Sheehan according to the terms and conditions set out in Part VI of this Settlement Agreement (the **Settlement Agreement**). Sheehan agrees to the making of an order in the form attached as Schedule “A” (the **Order**) to this Settlement Agreement, based on the facts set out herein.
6. For the purposes of the Proceeding, and any other regulatory proceeding commenced by a securities regulatory authority, Sheehan agrees with the facts set out in Part III and the conclusions set out in Part IV of this Settlement Agreement.

**PART III – AGREED FACTS**

**SALP’s Structure**

7. SALP’s terms and structure were governed in part by a partnership agreement (the **Partnership Agreement**) and subsequent amendments. Under the terms of the partnership set out in the Partnership Agreement, SALP’s investors became limited partners of SALP by acquiring an interest in the partnership in the form of a partnership unit (**Unit**) in exchange for the investment capital they contributed to the fund.
8. Under the terms of the Partnership Agreement, units granted investors the right to participate in any returns earned from SALP’s portfolio of securities and were redeemable at the limited partner’s written request.
9. The Partnership Agreement designated Sheehan as the general partner and all other investors as limited partners.
10. The Partnership Agreement stated the partnership was to “buy, purchase, invest in, acquire, hold, trade, sell, transfer and otherwise deal in and with, directly or indirectly, Securities”.
11. The Partnership Agreement granted Sheehan the “full, complete and exclusive right, power and authority to manage, control, administer and operate the business and affairs” of SALP and to make all decisions regarding the partnership.

**Legal Advice**

12. Sheehan formed SALP based upon legal advice he received in August 1999 from an experienced securities lawyer (the **Securities Lawyer**). The Securities Lawyer drafted and advised on the Partnership Agreement.

13. The Securities Lawyer advised Sheehan that SALP was a private investment club and therefore registration was not required. However, in order to qualify as a private investment club, Sheehan would not have been able to take compensation beyond normal brokerage fees for his services, which Sheehan was not advised of by the Securities Lawyer.

**Investor Contributions to SALP**

14. During the Material Time, Sheehan remained the General Partner of SALP which comprised approximately 35 to 50 Ontario investors at any given point in time, 3 of which were immediate family members of Sheehan.
15. During the Material Time, SALP's limited partners made contributions to SALP totalling \$25,300,864.

**SALP's Prior Interest in Private Businesses**

16. Between 2001 and 2004, SALP bought 90% of a private business. SALP sold its interest in the private business in 2008. After the sale of the private business in 2008 and throughout the Material Time, SALP did not invest any capital in private companies, but continued to look for opportunities to do so.

**SALP's Business During the Material Time**

17. During the Material Time, Sheehan invested SALP's investor capital primarily in publicly traded equities and also invested in fixed income assets and exchange-traded derivatives.
18. During the Material Time, SALP's only active investments were a portfolio of publicly-traded securities, which Sheehan managed exclusively, and for which he received compensation.

**Sheehan's Compensation**

19. The Partnership Agreement stated that Sheehan be paid an annual performance fee equal to 25% of all returns on partnership capital over 6%, subject to certain terms and conditions including a claw back of the performance fee so as to ensure a 6% return to the limited partners.
20. In March 2001, Sheehan proposed that if over any five-year period the value of the partnership capital had not increased by 6% compounded annually, he would return the amount of any performance-based compensation on terms that would provide limited partners with a net 6% compounded return. This proposal was approved by the limited partners. After the amendment, all gains were assigned pro-rata on the first 6% compounded annually. Any gains above 6% compounded annually were attributed 75% pro-rata and 25% to Sheehan as his compensation.
21. During the Material Time, SALP always earned in excess of the minimum 6% compounded annual return over any given five-year period and therefore, Sheehan was never required to repay any of his performance-based compensation to SALP's limited partners.
22. In 2016, Sheehan introduced a further amendment to his compensation formula, reducing his compensation to 12.5% of the partnerships' returns above 6% on the first \$300,000 of the limited partners' invested capital; it remained 25% on returns above 6% on invested capital in excess of \$300,000. In 2018, Sheehan raised the capital threshold to the first \$450,000 of the limited partners' invested capital.
23. During the Material Time, Sheehan's compensation was approximately \$21 million including \$3,448,954 in compensation received from his immediate family.



24. The limited partners' percentage return and Sheehan's compensation in each year during the Material Time were as follows:

<b>Year</b>	<b>Limited Partner's Percentage return</b>	<b>Sheehan's Compensation</b>
2009	28.3%	\$517,810
2010	11.3%	\$400,373
2011	6.8%	\$67,342
2012	15 %	\$834,883
2013	46.8%	\$6,016,923
2014	24%	\$4,017,805
2015	15.8%	\$2,756,081
2016	10.5%	\$1,409,660
2017	21.2%	\$5,104,262
2018	3.3%	\$0
2019	13.0%	\$0 <sup>1</sup>
<b>TOTAL</b>		<b>\$21,125,139</b>

**SALP's Operating Expenses**

25. According to the Partnership Agreement, all expenses were payable out of the assets of the limited partnership. During the Material Time, SALP's operating expenses were as follows:

2019:	\$48,920
2018:	\$83,981
2017:	\$86,165
2016:	\$63,870
2015:	\$69,995
2014:	\$42,860
2013:	\$37,292
2012:	\$35,341
2011:	\$29,014
2010:	\$23,048
2009:	\$20,556

**Distribution of SALP's Proceeds and Wind-Up**

26. SALP has been permanently wound up. On or about April 30, 2019, Sheehan paid each of SALP's limited partners the full amount of their invested capital plus the limited partners' proportional share of investment returns, net of Sheehan's performance-based compensation.

**PART IV – CONDUCT CONTRARY TO ONTARIO SECURITIES LAW**

27. Sheehan admits and acknowledges that he contravened Ontario securities law by engaging in the business of trading and advising in securities and by acting as an investment fund manager, without registration and where no exemptions were available. Such acts contravened subsections 25(1), 25(3), and 25(4) of the Act.

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<sup>1</sup> In permanently winding up SALP, Sheehan waived his 2019 performance based compensation of \$2,364,577.72.

#### PART V – RESPONDENT’S POSITION

28. The Respondent intends to request, and Staff do not object, that the panel at the Settlement Hearing consider the following mitigating circumstances:
- a. Sheehan reasonably relied on the legal advice he received in 1999.
  - b. Sheehan acknowledges that he did not seek or obtain further legal advice again at any point after 1999, including in 2009 when significant amendments were made to the Act. While the Act required registration for engaging in the business of trading in and advising in securities in 1999, amendments to the Act that came into force on September 28, 2009 also required, for the first time, registration in order to act as an investment fund manager.
  - c. Sheehan did not intend to, or knowingly, act, contrary to the Act.
  - d. Sheehan did not solicit investors to SALP.
  - e. As of the date of this Settlement Agreement, Staff is not aware of any complaints from any investor in SALP.
  - f. Sheehan has provided Staff with a signed undertaking, in the form attached as Annex I to Schedule “A” to this Settlement Agreement, to not apply for registration under Ontario securities law for a period of one year following the date of the Order.

#### PART VI – TERMS OF SETTLEMENT

29. The Respondent agrees to the terms of settlement listed below and consents to the order in substantially the form attached hereto as Schedule "A" (the **Order**), the terms of which include that:
- a. the Settlement Agreement is approved;
  - b. Sheehan shall make a voluntary payment of \$1,600,000 to the Commission by wire transfer to the Commission before the commencement of the Settlement Hearing, which amount is designated (i) for allocation to or for the benefit of third parties or (ii) for use by the Commission for the purpose of educating investors or promoting or otherwise enhancing knowledge and information of persons regarding the operation of the securities and financial markets, in accordance with subsections 3.4(2)(b)(i) or (ii) of the Act; and
  - c. pursuant to paragraph 1 of subsection 127.1 of the Act, Sheehan shall pay costs of the Commission's investigation in the amount of \$100,000, by wire transfer to the Commission before the commencement of the Settlement Hearing, pursuant to section 127.1 of the Act.
30. Sheehan agrees to attend at the hearing before the Commission to consider the proposed settlement by video conference.
31. Sheehan acknowledges that this Settlement Agreement and the Order may form the basis for orders of parallel effect in other jurisdictions in Canada. The securities laws of some other Canadian jurisdictions allow orders made in this matter to take effect in those other jurisdictions automatically, without further notice to the Respondent. The Respondent should contact the securities regulator of any other jurisdiction in which the Respondent intends to engage in any securities- or derivatives-related activities, prior to undertaking such activities.

#### PART VII – FURTHER PROCEEDINGS

32. If the Commission approves this Settlement Agreement, Staff will not commence or continue any proceeding against the Respondent under Ontario securities law based on the misconduct described in Part III of this Settlement Agreement, unless the Respondent fails to comply with any term in this Settlement Agreement, in which case Staff may bring proceedings under Ontario securities law against the Respondent that may be based on, among other things, the facts set out in Part III of this Settlement Agreement as well as the breach of this Settlement Agreement.
33. Sheehan acknowledges that, if the Commission approves this Settlement Agreement and Sheehan fails to comply with any term in it, Staff or the Commission are entitled to bring any proceedings necessary to enforce compliance with the terms of the Settlement Agreement.
34. Sheehan waives any defences to a proceeding referred to in paragraph 32 or 33 that are based on the limitation period in the Act, provided that no such proceeding shall be commenced later than six years from the date of the occurrence of the last failure to comply with the Settlement Agreement.

**PART VIII – PROCEDURE FOR APPROVAL OF SETTLEMENT**

35. The parties will seek approval of this Settlement Agreement at the Settlement Hearing before the Commission, according to the procedures set out in this Settlement Agreement and the Commission’s Rules of Procedure.
36. Staff and Sheehan agree that this Settlement Agreement will form all of the agreed facts that will be submitted at the Settlement Hearing in relation to Sheehan’s conduct, unless the parties agree that additional facts should be submitted at the Settlement Hearing.
37. If the Commission approves this Settlement Agreement:
  - a. Sheehan irrevocably waives all rights to a full hearing, judicial review or appeal of this matter under the Act; and
  - b. No party will make any public statement that is inconsistent with this Settlement Agreement or with any additional agreed facts submitted at the Settlement Hearing.
38. If the Commission does not approve this Settlement Agreement at the Settlement Hearing, Staff shall return to Sheehan all funds paid by them to the Commission prior to the Settlement hearing within seven (7) days of the Settlement Hearing or the Commission’s decision not to approve this Settlement Agreement, whichever is later.
39. Whether or not the Commission approves this Settlement Agreement, Sheehan will not use, in any proceeding, this Settlement Agreement or the negotiation or process of approval of this Settlement Agreement as the basis for any attack on the Commission’s jurisdiction, alleged bias, alleged unfairness, or any other remedies or challenges that may otherwise be available.

**PART VIII – DISCLOSURE OF SETTLEMENT AGREEMENT**

40. If the Commission does not approve this Settlement Agreement or does not make an order substantially in the form of the Order attached as Schedule “A” to this Settlement Agreement:
  - a. this Settlement Agreement and all discussions and negotiations between Staff and Sheehan before the Settlement Hearing takes place will be without prejudice to Staff and Sheehan; and
  - b. Staff and Sheehan will each be entitled to all available proceedings, remedies and challenges, including proceeding to a hearing on the merits of the allegations contained in the Statement of Allegations dated May 5, 2020. Any such proceedings, remedies and challenges will not be affected by this Settlement Agreement, or by any discussions or negotiations relating to this Settlement Agreement.
41. The parties will keep the terms of this Settlement Agreement confidential until the Commission approves the Settlement Agreement, except as is necessary to make submissions at the Settlement Hearing. If, for whatever reason, the Commission does not approve the Settlement Agreement, the terms of the Settlement Agreement shall remain confidential indefinitely, unless Staff and the Respondent otherwise agree in writing or if required by law.

**PART IX – EXECUTION OF SETTLEMENT AGREEMENT**

42. This Settlement Agreement may be signed in one or more counterparts which, together, constitute a binding agreement.
43. An electronic copy of any signature will be as effective as an original signature.

**DATED** at this 30<sup>th</sup> day of September, 2021.

“Kristy Sheehan” “Daniel Sheehan”  
Witness

**DATED** at Toronto, Ontario, this 4<sup>th</sup> day of October, 2021.

**ONTARIO SECURITIES COMMISSION**

“Jeff Kehoe”  
Director, Enforcement Branch

Schedule "A"

File No. 2020-38

IN THE MATTER OF  
DANIEL SHEEHAN

Wendy Berman, Vice-Chair and Chair of the Panel

[Date]

**ORDER**

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

**WHEREAS** on September X, 2021, the Ontario Securities Commission (the **Commission**) held a hearing by video conference to consider the request made jointly by Daniel Sheehan (**Sheehan**) and Staff of the Commission (**Staff**) for approval of a settlement agreement dated September X, 2021 (the **Settlement Agreement**);

**ON READING** the Joint Application for Settlement Hearing, including the Statement of Allegations dated November 3, 2020 and the Settlement Agreement, and the written submissions of Staff, and on hearing the submissions of Staff and the representative for Sheehan, and on considering Sheehan having made payment of each of \$1,600,000 and \$100,000 to the Commission in accordance with the terms of the Settlement Agreement and on considering the undertaking of Sheehan dated September X, 2021 and attached as Schedule "A" to this Order;

**IT IS ORDERED THAT:**

1. the Settlement Agreement is approved;
2. The voluntary payment of \$1,600,000 made by Sheehan to the Commission is designated for allocation or use by the Commission in accordance with subsections 3.4(2)(b)(i) or (ii) of the Act;
3. Sheehan shall pay costs of the Commissions investigation in the amount of \$100,000, pursuant to section 127.1 of the Act.

\_\_\_\_\_  
Wendy Berman

**ANNEX I**

**IN THE MATTER OF  
DANIEL SHEEHAN**

**UNDERTAKING TO THE ONTARIO SECURITIES COMMISSION**

1. This Undertaking is given in connection with the settlement agreement dated September X, 2021 (the **Settlement Agreement**) between Daniel Sheehan (**Sheehan**) and staff (**Staff**) of the Ontario Securities Commission (the **Commission**). All terms shall have the same meanings in this Undertaking as in the Settlement Agreement.
2. Sheehan undertakes to the Commission to:
  - (a) not apply for registration for a period of one year following the date of the Order approving the Settlement Agreement.

**Dated** at Mississauga, Ontario this 27<sup>th</sup> day of August, 2021.

“Daniel Sheehan”

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## Chapter 3

# Reasons: Decisions, Orders and Rulings

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### 3.1 OSC Decisions

#### 3.1.1 The Mutual Fund Dealers Association and Omar Enrique Rojas Diaz (also known as Omar Rojas) – ss. 21.7, 8

Citation: *MFDA (Rojas Diaz) (Re)*, 2021 ONSEC 24

October 5, 2021

File No. 2021-7

IN THE MATTER OF  
THE MUTUAL FUND DEALERS ASSOCIATION  
AND  
OMAR ENRIQUE ROJAS DIAZ  
(ALSO KNOWN AS OMAR ROJAS)

REASONS AND DECISION  
(Sections 21.7 and 8 of the *Securities Act*, RSO 1990, c S.5)

<b>Hearing:</b>	August 12, 2021	
<b>Decision:</b>	October 5, 2021	
<b>Panel:</b>	Lawrence P. Haber	Commissioner and Chair of the Panel
<b>Appearances:</b>	Omar Enrique Rojas Diaz	For himself
	Shelly M. Feld Alan Melamud	For Staff of the Mutual Fund Dealers Association of Canada
	Jacob Millar	For Staff of the Commission

### REASONS AND DECISION

#### I. OVERVIEW

- [1] Omar Enrique Rojas Diaz (the **Respondent**) was a dealing representative with Royal Mutual Funds Inc. and regulated by the Mutual Fund Dealers Association of Canada (**MFDA**).
- [2] On December 8, 2020, the Respondent entered into an Agreed Statement of Facts with MFDA Staff, in which the Respondent admitted that between September 8, 2017 and June 29, 2018, he misappropriated approximately \$39,270 from one client, contrary to MFDA Rule 2.1.1.
- [3] In a decision issued on January 29, 2021 (the **Decision**),<sup>1</sup> the MFDA panel ordered that the Respondent:
- a. be permanently prohibited from conducting securities related business while in the employ of or affiliated with a Member of the MFDA; and
  - b. pay costs of \$2,500.
- [4] On March 2, 2021, MFDA Staff applied to the Ontario Securities Commission (the **Commission** or the **OSC**) for a hearing and review of the Decision.
- [5] MFDA Staff seeks an order varying the Decision by imposing a fine on the Respondent in the amount of \$52,270, or in the alternative, an order returning the matter to the MFDA panel for a penalty hearing.

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<sup>1</sup> *Rojas (Re)*, 2021 CanLII 15682 (CA MFDAC), MFDA File No. 202002

[6] The Respondent asks that MFDA Staff's application be dismissed. Staff of the Commission (**OSC Staff**) asks that MFDA Staff's application be granted and that some financial sanctions be ordered against the Respondent but takes no position on the quantum of those sanctions.

[7] For the reasons set out below, I find that that the Decision is varied to include a fine payable by the Respondent in the amount of \$52,270.

## II. BACKGROUND

[8] From December 9, 2013 to July 17, 2018, the Respondent was an Approved Person registered in Ontario as a dealing representative with Royal Mutual Funds Inc. (the **Member**), a Member of the MFDA. The Respondent was also an employee of the Member's bank affiliate (the **Bank**).

[9] In 2017, the Respondent advised client MC that she had been pre-approved for a line of credit in the amount of \$10,000. Client MC was not interested in opening a line of credit; however, the Respondent continued encouraging client MC to do so, and on or about February 23, 2017, client MC opened the line of credit.

[10] The Respondent subsequently changed the contact details (address, telephone number, and email) on client MC's client profile to fictitious details without client MC's knowledge or authorization. On or about October 3, 2017, the Respondent opened a new bank account in the name of client MC in order to pay the minimum interest on client MC's line of credit from the new account, without client MC's knowledge or authorization. The Respondent falsified client MC's signature on a letter of direction to facilitate these changes.

[11] Between September 8, 2017 and June 29, 2018, without the knowledge or authorization of client MC, the Respondent processed approximately:

- a. 30 increases to the credit limit on client MC's line of credit;
- b. 30 withdrawals from client MC's line of credit; and
- c. 15 deposits to pay monthly interest charges so that the line of credit would not go into default. By means of these unauthorized transactions, the Respondent misappropriated approximately \$39,270 from client MC's line of credit and used the monies for his personal benefit.

[12] Following the discovery of the Respondent's conduct by the Bank, the Bank compensated client MC by reimbursing the misappropriated amounts. The Respondent's employment was subsequently terminated by the Member on July 17, 2018.

[13] In November 2018, the Respondent entered into a consumer proposal (the **Proposal**), which his creditors accepted. Pursuant to the Proposal, the Respondent was required to make monthly payments of \$350 to the administrator of the Proposal, to a required total of \$21,000 after 60 months. The Respondent has been making the required payments, however, as of November 3, 2020, the Respondent was behind by two payments.

[14] The Member conducted an investigation and no evidence of additional misconduct affecting other clients of the Member or the Bank was identified. There have been no other client complaints to the Member or to the MFDA.

[15] On August 5, 2020, the MFDA commenced a disciplinary proceeding against the Respondent by issuing a Notice of Hearing. On December 8, 2020, the MFDA and the Respondent entered into an Agreed Statement of Facts, wherein the Respondent admitted he misappropriated approximately \$39,270 from one client, contrary to MFDA Rule 2.1.1.

[16] The merits and penalty hearing was conducted on December 14, 2020. The Respondent was self-represented throughout the MFDA proceeding. On January 29, 2021, the MFDA Panel issued its Decision accepting the admission of the Respondent that he had misappropriated \$39,270 from a client, contrary to MFDA Rule 2.1.1, and imposing the following sanctions against the Respondent:

- a. a permanent prohibition on the authority of the Respondent to conduct securities related business while in the employ of, or associated with any Member of the MFDA; and
- b. an order that the Respondent pay costs to the MFDA in the amount of \$2,500.

[17] The MFDA panel declined to order a fine against the Respondent. The MFDA panel determined that in light of the circumstances, to impose a financial penalty on the Respondent in addition to a permanent ban on the Respondent's ability to conduct securities related business with a member of the MFDA would be to punish the Respondent for his past conduct.<sup>2</sup>

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<sup>2</sup> Decision at para 76



### III. ANALYSIS

#### A. Introduction

- [18] Before turning to the substantive issue raised by this application, I set out the legal framework and standard of review for this proceeding.
- [19] MFDA Staff brings this application under s. 21.7 of the *Securities Act*<sup>3</sup> (the **Act**) which provides that a person directly affected by a decision of a recognized self-regulatory organization, such as the MFDA, may apply to the Commission for a review of that decision.
- [20] On an application such as this, the Commission may confirm the MFDA decision or make such other decision as the Commission considers proper.<sup>4</sup> The Commission's review of an MFDA decision is a hearing *de novo* rather than an appeal. In other words, the Commission exercises original jurisdiction rather than a more limited appellate jurisdiction.<sup>5</sup>
- [21] The Commission has chosen as a matter of practice to limit the circumstances under which it will substitute its own decision for that of a self-regulatory organization such as the MFDA.<sup>6</sup> This choice is consistent with the requirement in the Act that the Commission have regard to the fundamental principle that the Commission should "use the enforcement capability and regulatory expertise of recognized self-regulatory organizations."<sup>7</sup>
- [22] The Commission will interfere with a decision of a self-regulatory organization only if one of the following five grounds has been established:
- a. the hearing panel proceeded on an incorrect principle;
  - b. the hearing panel erred in law;
  - c. the hearing panel overlooked material evidence;
  - d. new and compelling evidence is presented to the Commission that was not presented to the hearing panel; or
  - e. the hearing panel's perception of the public interest conflicts with that of the Commission.<sup>8</sup>
- [23] MFDA Staff submits that the first, second and fifth grounds are met in this case.

#### B. Has MFDA Staff established that the Commission should interfere with the MFDA Decision?

- [24] MFDA Staff submits that the MFDA panel erred in the following ways, each of which I will consider in turn:
- a. imposed a penalty that permitted the Respondent to retain the benefit from his misconduct;
  - b. relied on irrelevant factors; and
  - c. placed undue emphasis on the Respondent's inability to pay a financial penalty and concluded that a financial sanction would be punitive in the circumstances.
1. **Did the MFDA panel err in law and in principle by imposing a penalty that permitted the Respondent to retain the benefit from his misconduct?**
- [25] The MFDA panel concluded that removing the Respondent from the mutual fund industry alone, without a financial penalty, was sufficient to protect investors, deter the Respondent from engaging in this type of misconduct and send a strong message to the industry that abusing the client trust relationship will not be tolerated.<sup>9</sup>
- [26] MFDA Staff submits that the MFDA panel erred in law, proceeded on an incorrect principle, and adopted and applied a perception of the public interest that is inconsistent with that of the Commission by deciding not to order disgorgement or any financial penalty against the Respondent, thereby permitting him to retain the benefit from his misconduct. In particular, MFDA Staff submits that the MFDA panel failed to consider the importance of disgorgement to achieve the protective and preventative objectives of securities regulation and failed to explain how specific and general deterrence could be achieved while permitting the Respondent to keep the financial benefit that he derived from his wrongdoing.

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<sup>3</sup> RSO 1990, c S.5

<sup>4</sup> Act, s 8(3) and 21.7(2)

<sup>5</sup> *Boulieris (Re)*, 2004 ONSEC 1, (2004) 27 OSCB 1597 (*Boulieris*) at paras 29-30; *Ziaian (Re)*, 2021 ONSEC 9, (2021) 44 OSCB 2584 (*Ziaian*) at para 26

<sup>6</sup> *Northern Securities Inc. (Re)*, 2013 ONSEC 48, (2014) 37 OSCB 161 at para 57

<sup>7</sup> Act, s 2.1, para 4

<sup>8</sup> *Canada Malting (Re)*, (1986) 9 OSCB 3565 at para 24; *Ziaian* at para 28

<sup>9</sup> Decision at para 55

- [27] The Respondent submits that he has not retained the benefit from his misconduct because since 2018, he has been making yearly payments to the Bank for the monies he misappropriated as part of the Proposal.
- [28] I find that the MFDA panel erred in law, proceeded on an incorrect principle, and adopted and applied a perception of the public interest that is inconsistent with that of the Commission by deciding not to order disgorgement or any financial penalty against the Respondent.
- [29] The primary goal of securities regulation is the protection of investors and fostering public confidence in the capital markets and the securities industry.<sup>10</sup> To this end, disciplinary penalties imposed in a securities regulatory context are intended to be protective and preventative by restraining future conduct that is harmful to the capital markets.<sup>11</sup>
- [30] Disgorgement is an important tool to advance the remedial and protective aims of securities regulation and to ensure that specific and general deterrence of misconduct is achieved. The disgorgement remedy is intended to deprive a wrongdoer of gains obtained through misconduct and thereby remove the incentive to engage in similar future non-compliance with securities regulation.<sup>12</sup>
- [31] In addition, disgorgement serves the important public interest of maintaining public confidence in the capital markets and securities regulation, by making it clear that contravening securities regulations does not pay.<sup>13</sup>
- [32] By permitting the Respondent to retain the benefit of his misconduct, the MFDA panel ordered a penalty that failed to satisfy the protective and preventative objectives of securities regulation and that failed to achieve the desired level of specific and general deterrence that is required when applying sanctions.
- [33] The Respondent did not file any evidence with respect to the yearly payments being made to the Bank. In any event, the MFDA panel did not base its decision on these payments and its decision must be reviewed based on the evidence before it at the time.

**2. Did the MFDA panel err in law and in principle by relying on irrelevant factors?**

- [34] MFDA Staff submits that the MFDA panel erred in law and proceeded on an incorrect principle by relying on the following irrelevant factors in its decision:
- a. the Bank's reimbursement of the amounts taken from the client's line of credit and the fact that the client never suffered a loss; and
  - b. the Respondent's motivation or reason for misappropriating the money.

**(a) *The Bank's reimbursement of the money taken and the fact that the client never suffered a loss***

- [35] In its assessment of the seriousness of the Respondent's misconduct, the MFDA Panel concluded that "[w]hile the client's trust was breached, the financial loss was that of the Bank."<sup>14</sup> Further, in its discussion of mitigating factors, the MFDA panel noted that the Bank forgave the amounts withdrawn from the client's line of credit and as a result the client was never out of pocket any money, only the Bank was.<sup>15</sup>
- [36] MFDA Staff submits that the MFDA panel erred in law and proceeded on an incorrect principle by treating the following as mitigating factors: (i) the Bank's reimbursement of the amounts taken by the Respondent from the client's line of credit, and (ii) the fact that the Bank, not the client, ultimately suffered the loss. MFDA Staff submits that the determination of which party was victimized by the Respondent's misconduct and which party ultimately suffered the loss is irrelevant to the question of the appropriate penalty to impose.
- [37] MFDA Staff submits that regardless of whether the client or the Bank suffered the loss, the seriousness of the Respondent's dishonesty, the amount of financial harm suffered, and the corresponding financial benefit obtained are all unaffected. MFDA Staff submits that schemes that involve taking advantage of client trust to misappropriate monies are incompatible with investor protection and maintaining confidence in the capital markets. MFDA Staff submits that the sanctions imposed on a wrongdoer ought not to be affected by the good faith intervention of a third party who took steps to redress the harm caused by the wrongdoer.

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<sup>10</sup> *Pezim v British Columbia (Superintendent of Brokers)*, [1994] 2 SCR 557 at para 59

<sup>11</sup> *Committee for the Equal Treatment of Asbestos Minority Shareholders v Ontario (Securities Commission)*, [2001] 2 SCR 132 at para 42

<sup>12</sup> *Northern Securities Inc. (Re)*, 2014 ONSEC 27, (2014) 37 OSCB 8535 at paras 210-211; *Limelight Entertainment Inc. (Re)*, 2008 ONSEC 28, (2008) 31 OSCB 12030 (*Limelight*) at paras 47-48

<sup>13</sup> *Limelight* at para 54; *Fauth (Re)*, 2019 ABASC 102 at para 56

<sup>14</sup> Decision at para 47

<sup>15</sup> Decision at para 64

- [38] OSC Staff submits that the MFDA panel erred in law by treating the fact that the Bank reimbursed the amounts misappropriated by the Respondent as a mitigating factor. OSC Staff submits that the fact that a third party later compensated the original victim does nothing to mitigate the seriousness of the Respondent's conduct.
- [39] I find that the MFDA panel erred in law and proceeded on an incorrect principle by treating the Bank's reimbursement to the client and the fact that the Bank, not the client, ultimately suffered the loss, as mitigating factors.
- [40] The Commission has previously held, in the context of considering disgorgement as a sanction, the party which ultimately suffered the loss is irrelevant to the question of whether the amounts obtained by a wrongdoer ought to be disgorged. In *Pro-Financial Asset Management Inc. (Re)*,<sup>16</sup> the respondents argued that disgorgement ought not to be ordered in respect of the amounts that had been obtained from banks as opposed to investors themselves. The Commission rejected the argument and made clear that when ordering disgorgement, the Commission should consider the loss suffered by third parties, not just "investors".<sup>17</sup> Whether the loss was suffered by the client who was targeted or the Bank that compensated that client, the seriousness of the Respondent's dishonesty, the amount of financial harm suffered and the corresponding financial benefit obtained are all unaffected. The MFDA panel erred by considering the steps taken by a third party to redress the harm to investors as a mitigating factor.

**(b) The Respondent's motivation for misappropriation**

- [41] The MFDA panel noted that there was no evidence that the Respondent had used the misappropriated funds to support a lavish lifestyle, but instead had needed the money owing to financial difficulties.<sup>18</sup>
- [42] MFDA Staff submits that the MFDA panel proceeded on an incorrect principle by treating the Respondent's motivation for misappropriating money taken from a client's account as a mitigating factor that diminished the seriousness of his misconduct. MFDA Staff submits that while the seriousness of the misconduct is a relevant factor to consider when determining the appropriateness of disgorgement, the Respondent's reason for misappropriating money does not diminish the seriousness of the misconduct or the justification for requiring disgorgement of the money that he took.
- [43] I find that the MFDA panel proceeded on an incorrect principle by treating the Respondent's motivation for misappropriating money taken from a client's account as a mitigating factor that diminished the seriousness of his misconduct.
- [44] Misappropriation is among the most serious forms of misconduct that securities regulators encounter.<sup>19</sup> Regardless of the motivation for the misappropriation, in order to maintain public trust in the securities industry it is essential that those entrusted with investor money strictly adhere to sound practices that reflect the importance of that trust.<sup>20</sup> Otherwise, an Approved Person facing financial difficulties may be motivated to misappropriate funds knowing that they may be able to retain the monies misappropriated in the end. Such an approach runs counter to the principles that inform sanctions and would send the wrong message to those individuals and the public. The fact that in this case the Respondent was motivated to misappropriate funds due to personal financial need, as opposed to outright greed, does not impact the seriousness of the Respondent's misconduct and the justification for requiring disgorgement of the funds taken from the client's account.
- [45] Accordingly, the MFDA panel erred by considering the Respondent's motivation or reason for misappropriation as a mitigating factor. The Decision must be varied to uphold the principles of specific and general deterrence.

**3. Did the MFDA panel err in law and in principle by placing undue emphasis on the Respondent's inability to pay a financial penalty and by concluding that a financial sanction would be punitive?**

- [46] In its discussion of the Respondent's inability to pay, the MFDA panel noted that while the Respondent's misconduct would ordinarily warrant a financial penalty, it would be neither fair nor appropriate to impose a financial penalty in the circumstances.<sup>21</sup> The MFDA panel ultimately concluded that "to impose a financial penalty on the Respondent in addition to a permanent prohibition on the Respondent's authority to conduct securities related business while in the employ of or affiliated with a Member of the MFDA, would be to punish past conduct".<sup>22</sup>
- [47] MFDA Staff submits that the MFDA panel erred in law and proceeded on an incorrect principle by (i) overemphasizing the Respondent's inability to pay a financial penalty given the seriousness of his misconduct, and (ii) concluding that an order requiring disgorgement of the misappropriated funds would be punitive. MFDA Staff submits that the MFDA panel placed undue weight on the significance of the Respondent's inability to pay, and insufficient weight on other applicable

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<sup>16</sup> 2018 ONSEC 18, (2018) 41 OSCB 3512 (*Pro-Financial*)

<sup>17</sup> *Pro-Financial* at paras 53-55

<sup>18</sup> Decision at para 44

<sup>19</sup> *Ng (Re)*, 2016 LNCMFDA 81 at paras 106-107; *Ogalino (Re)*, 2014 LNCMFDA 7 at para 15; *Cox (Re)*, 2016 LNCMFDA 24 at para 84; *Davies (Re)*, 2020 LNCMFDA 88 at para 25

<sup>20</sup> *Pro-Financial* at para 72

<sup>21</sup> Decision at para 65

<sup>22</sup> Decision at para 76

factors such as the need for general deterrence and the damage that could be caused to confidence in the capital markets if wrongdoers are permitted to retain their ill-gotten gains.

- [48] OSC Staff submits that the MFDA panel erred in law and proceeded on an incorrect principle by (i) placing too much emphasis on the Respondent's current inability to pay a financial penalty, and (ii) concluding that imposing a financial sanction on the Respondent would be punitive. OSC Staff submits that the MFDA panel overemphasized the Respondent's current financial circumstances and failed to adequately weigh other relevant principles, including deterrence, the seriousness of the Respondent's conduct, and the public interest in safeguarding the capital markets. OSC Staff further submits that financial sanctions do not become punitive or inappropriate simply because the wrongdoer does not have the ability to pay them, especially where the wrongdoer is not elderly and may yet again find gainful employment in the future. OSC Staff also submits that the MFDA panel's decision to not impose financial sanctions is inconsistent with prior MFDA and Commission decisions regarding the purpose of financial sanctions and the factors to be considered when imposing them.
- [49] The Respondent submits that he has already been punished for his wrongdoing as a result of his ban from the industry and that he does not have the ability to pay a financial penalty if one were ordered against him. The Respondent also submits that the cases cited by MFDA Staff and OSC Staff are distinguishable from the present case because those cases involved investment securities and individuals taking advantage of the capital markets. In the present case, the Respondent submits that he took monies from a banking product, not an investment security, and never took advantage of the securities industry.
- [50] I find that the MFDA panel erred in law and proceeded on an incorrect principle by overemphasizing the Respondent's inability to pay a financial penalty given the seriousness of his misconduct and concluding that an order requiring disgorgement of the misappropriated funds would be punitive.
- [51] While I have some sympathy for the financial circumstances the Respondent finds himself in, previous MFDA decisions have repeatedly emphasized that an "inability to pay" takes on less significance when determining a penalty in instances where a respondent engages in egregious misconduct that harms a client.<sup>23</sup>
- [52] In *Re Sabourin*, the Commission similarly ordered disgorgement notwithstanding a respondent's claims of impecuniosity.<sup>24</sup> The Commission recognized that "ability to pay" was a relevant factor, but was careful to make clear that it was not a predominant or determining factor.<sup>25</sup> This approach is in line with the applicable principles of specific and general deterrence discussed above.
- [53] The MFDA Sanction Guidelines express the same principle, stating that "[ability to pay] is only one of the factors to be weighed in relation to all other applicable factors including general and specific deterrence and the need to ensure public confidence in the MFDA's disciplinary processes."<sup>26</sup> However, in this case, I find that the MFDA panel placed undue weight on the significance of the Respondent's inability to pay, and insufficient weight on other applicable factors such as the need for general deterrence and the damage that could be caused to confidence in the capital markets if wrongdoers are permitted to retain their ill-gotten gains.
- [54] In light of its conclusion that the Respondent had a legitimate inability to pay, the MFDA panel concluded that ordering a financial penalty would constitute improper punishment of past conduct.<sup>27</sup> Disgorgement, however, is not a punishment, particularly in circumstances where the monies disgorged are amounts that the Respondent deliberately misappropriated from a client. As stated by the Divisional Court in *North American Financial Group*, the reason to focus on the amounts wrongly obtained as opposed to the amounts retained is precisely because the aim is deterrence and not punishment.<sup>28</sup>
- [55] I do not accept the Respondent's submissions that his actions related to "banking products" as opposed to mutual funds and therefore the precedents relied upon by MFDA Staff are distinguishable. Firstly, there was no jurisdictional objection raised by the Respondent before the MFDA panel or on this application. Secondly, MFDA Staff identified case law where the MFDA imposed sanctions where funds were misappropriated from both mutual fund and non-mutual fund clients,<sup>29</sup> and where the vast majority of funds were misappropriated prior to the Respondent becoming registered.<sup>30</sup> The fact that in this case the Respondent misappropriated funds from a client's line of credit, as opposed to their invested funds, does not change the analysis regarding the appropriateness of the penalty.

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<sup>23</sup> *Brauns (Re)*, 2014 LNCMFDA 9 at para 16; *Davis (Re)*, 2016 LNCMFDA 172 at para 59; *Frank (Re)*, 2015 LNCMFDA 83 at paras 3 and 13-16; *Visneskie (Re)*, 2018 LNCMFDA 119 at paras 20-21; *Zamrykut (Re)*, 2020 LNCMFDA 184 at para 35

<sup>24</sup> *Sabourin (Re)*, 2010 ONSC 10, (2010) 33 OSCB 5299 (*Sabourin*) at paras 24, 27 and 69

<sup>25</sup> *Sabourin* at para 60

<sup>26</sup> Mutual Fund Dealers Association of Canada, *Sanction Guidelines (Sanction Guidelines)* at 5

<sup>27</sup> Decision at paras 65 and 74-76

<sup>28</sup> *North American Financial Group Inc v Ontario Securities Commission*, 2018 ONSC 136 at para 218

<sup>29</sup> *Hothi (Re)*, 2020 LNCMFDA 187 at paras 23, 44 and 48

<sup>30</sup> *Lam (Re)*, 2019 LNCMFDA 23 at paras 13 and 32-33

[56] Accordingly, the MFDA panel erred when it declined to order disgorgement on the basis that it would constitute improper punishment.

**C. If the MFDA panel did commit a reviewable error, what is the appropriate remedy?**

[57] MFDA Staff submits that if the Commission decides to grant MFDA Staff's application, then the Commission ought to substitute its own decision for that of the MFDA panel. MFDA Staff submits that there is no further evidence nor argument to make in respect of the appropriate penalty, and as a result there is no reason to refer the matter back to the MFDA panel.

[58] MFDA Staff seeks an order imposing a fine of \$52,270 against the Respondent. MFDA Staff submits that at a minimum, a fine of \$32,270 should be ordered against the Respondent, reflecting disgorgement of the Respondent's profit from his misconduct less \$7,000 that the Respondent has repaid to the Bank as part of the Proposal. However, MFDA Staff submits that an additional financial penalty of \$20,000 above the amount taken from the client's line of credit without authorization should be imposed given the egregious nature of the Respondent's misconduct and the need for general deterrence as well as disgorgement in the circumstances. MFDA Staff submits that requiring the Respondent to merely disgorge the amount taken would be insufficient to deter similar misconduct. MFDA Staff submits that ordering the Respondent to disgorge the amounts misappropriated plus an additional fine of \$20,000 for general deterrence would also be consistent with relevant MFDA precedents.

[59] OSC Staff submits that it would be appropriate for the Commission to substitute its own decision for that of the MFDA panel. OSC Staff submits that the facts before the MFDA panel were comprised entirely of an Agreed Statement of Facts and that as a result the Commission is in possession of all the necessary facts to substitute its decision. OSC Staff submits that imposing some financial sanctions against the Respondent is appropriate in the circumstances but takes no position on the quantum or allocation of the sanctions that should be ordered.

[60] On an application for a hearing and review of a MFDA decision, the Commission can substitute its own decision in instances where it finds that the MFDA panel has erred. I find that this is an appropriate situation to do so.

[61] In reaching a decision on the appropriate penalty, I weighed a number of factors that included:

- the seriousness of the allegations that have been proved;
- the Respondent's experience in the marketplace;
- the level of the Respondent's activity in the marketplace;
- whether or not there has been any recognition by the Respondent of the seriousness of the improprieties;
- whether the misconduct was isolated or recurrent and part of a pattern of misconduct;
- whether there are any mitigating factors that should be considered;
- whether or not the sanctions may deter the Respondent and other like-minded individuals from engaging in similar abuses of the capital markets in the future;
- the size of any profit (or loss avoided) from the illegal conduct; and
- the Respondent's ability to pay any monetary sanctions.

[62] I also consider the following principles applicable to sanctions:

- the protection of the investing public;
- the integrity of the securities market;
- specific and general deterrence;
- the protection of the governing body's membership; and
- the protection of the integrity of the governing body's enforcement processes.

[63] The only aspect of the Decision which I found appropriate to substitute was the MFDA panel's failure to impose a monetary penalty. Accordingly, the factors of the seriousness of the misconduct, the protection of the investing public, specific and general deterrence, and the Respondent's ability to pay were the primary factors in my decision.

- [64] While I sympathise with the Respondent's apparent financial difficulties and accept that he was in my view, genuinely contrite and remorseful, to the extent that those factors are relevant, the other factors far outweigh them, and disgorgement must be ordered in order to achieve the goals of appropriate sanctions.
- [65] Part II of the MFDA Sanction Guidelines lists types of sanctions that an MFDA hearing panel may impose and states the following with respect to fines:
- Fine
- A fine is a monetary sanction imposed on a Member or an Approved Person found to be in contravention of MFDA By-laws, Rules and Policies. Fines are frequently imposed in disciplinary proceedings, but are not required in all cases. Generally, the amount of a fine should, at a minimum, have the effect of disgorging the amount of the financial benefit received by the Respondent as a result of the misconduct.<sup>31</sup>
- [66] I find that this is an appropriate case to impose such a fine. Accordingly, I order that a fine of \$32,270 be imposed, representing disgorgement of the amounts obtained by the Respondent through his misconduct, which had not been repaid.
- [67] MFDA Staff also requested that I impose an additional amount to the fine, in the amount of a minimum of \$20,000, representing an administrative penalty.
- [68] Section 24.1.1 of the MFDA By-Laws provides the forms of sanctions that can be awarded against an Approved Person.<sup>32</sup> Pursuant to that section, a MFDA panel can order a fine that is the greater of either \$5 million or three times the amount of profit obtained or loss avoided by the wrongdoer's misconduct. OSC Staff submits that in instances where the wrongdoer has expressed genuine remorse for their actions, the maximum penalty may not be appropriate. MFDA Staff did not oppose this submission but added that remorse is not sufficient to bring the penalty below the minimum (in this case, disgorgement of the amounts obtained) and maintained that an additional penalty of \$20,000 was appropriate in the circumstances.
- [69] I agree that an additional fine to the disgorged amount is appropriate in this case. The seriousness of the misconduct and the principles of public protection and deterrence require a more onerous financial penalty than simply disgorgement. I substitute my decision for that of the MFDA panel in this regard and impose a fine of \$20,000 in addition to the disgorgement.

**IV. CONCLUSION**

- [70] For the above reasons, I find that the MFDA panel erred in failing to impose a financial penalty on the Respondent. I therefore impose a financial penalty of \$52,270 in addition to the other sanctions set out in the decision, which will remain undisturbed.

Dated at Toronto this 5th day of October, 2021.

"Lawrence P. Haber"

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<sup>31</sup> *Sanction Guidelines* at 6

<sup>32</sup> Mutual Fund Dealers Association of Canada, *By-Law No 1*

3.1.2 An Application by Wilks Brothers, LLC for the Review of a Decision by TSX Inc. relating to Calfrac Well Services Ltd. – s. 21.7

Citation: *Wilks Brothers, LLC (Re)*, 2021 ONSEC 25

October 6, 2021

File No. 2021-12

IN THE MATTER OF  
AN APPLICATION BY  
WILKS BROTHERS, LLC  
FOR THE REVIEW OF A DECISION BY  
TSX INC.  
RELATING TO  
CALFRAC WELL SERVICES LTD.

REASONS FOR DECISION  
(Section 21.7 of the *Securities Act*, RSO 1990, c S.5)

<b>Hearing:</b>	July 12, 2021	
<b>Decision:</b>	October 6, 2021	
<b>Panel:</b>	Timothy Moseley Lawrence P. Haber Frances Kordyback	Vice-Chair, and Chair of the Panel Commissioner Commissioner
<b>Appearances:</b>	Lara Jackson John M. Picone Stephanie Voudouris	For Wilks Brothers, LLC
	Robert Staley Chris Simard Brent Kraus Jason M. Berall	For Calfrac Well Services Ltd.
	David D. Conklin Robert J. Chadwick Bradley Wiffen	For the Noteholder Intervenors
	Eliot Kolers Alexander D. Rose Ben Muller	For TSX Inc.
	Yvonne Chisholm Jason Koskela David Mendicino Vivian Lee Ashley Hsu	For Staff of the Commission

REASONS FOR DECISION

OVERVIEW

- [1] Wilks Brothers, LLC (**Wilks**) is a long-time and significant shareholder of TSX-listed Calfrac Well Services Ltd. (**Calfrac**). Wilks asks the Commission to review a decision by TSX Inc. (the **TSX**) to grant exemptive relief to Calfrac.
- [2] That relief essentially allowed Calfrac to correct, retroactively, a shareholder vote related to Calfrac's recapitalization. At the time the vote was conducted, Calfrac inadvertently included votes from a shareholder whose votes should have been excluded. The shareholder was ineligible to vote because it had earlier subscribed for certain of Calfrac's debt securities that allowed for conversion to common shares at a discounted price. The error was not discovered until four months after the vote.

- [3] The TSX's decision permitted the shareholder to rescind the subscription for the debt securities, thereby qualifying the shareholder's votes for inclusion in the recapitalization vote.
- [4] Wilks submits that the TSX erred in granting relief and that we should intervene. Calfrac disagrees, and contends that Wilks does not have standing to bring this application. We issued an order<sup>1</sup> after the hearing of this application, by which we confirmed Wilks's standing to bring this application but dismissed the application, for reasons to follow. These are our reasons.
- [5] As we explain below, we concluded that Wilks had standing because it was directly affected by the TSX's decision. However, we reject Wilks's contentions that the TSX erred by considering irrelevant grounds when reaching its decision, or by imposing an illegal condition, or by overlooking material evidence. We also disagree with Wilks's submission that the TSX's perception of the public interest conflicts with that of the Commission.

## II. BACKGROUND FACTS

- [6] Calfrac provides oilfield services in Canada and elsewhere. Its head office is in Calgary. In 2020, Calfrac sought to raise new capital and to reduce its outstanding indebtedness. It undertook a recapitalization transaction, effected pursuant to an arrangement under the *Canada Business Corporations Act*<sup>2</sup> (the **Arrangement**). The Arrangement had the following results, among others:
- a. holders of certain of Calfrac's unsecured notes received, in aggregate, approximately 90% of Calfrac's common shares in exchange for their notes;
  - b. existing common shareholders could elect to have Calfrac repurchase any or all of their shares, following which any common shares retained were consolidated on a 50:1 basis; and
  - c. Calfrac completed a \$60 million private placement of 10% 1.5 lien senior secured convertible notes (the **Lien Notes**).
- [7] It is the last of the above three elements that gives rise to this proceeding. The shares that would be issued upon conversion of the Lien Notes were to be listed on the TSX. TSX regulations required that a majority of disinterested holders of common shares vote to approve that listing. Because only disinterested shareholders could vote, parties who had subscribed for the Lien Notes were to be excluded.
- [8] One shareholder who subscribed for the Lien Notes was Alberta Investment Management Corporation (**AIMCo**), a large institutional investment manager. AIMCo manages significant investments of pension, endowment and government funds in Alberta.
- [9] AIMCo is a long-time investor in Calfrac. In mid-2020, AIMCo held approximately 17% of Calfrac's shares and more than US\$30 million of its unsecured notes. AIMCo subscribed for \$1.05 million of the \$60 million Lien Note private placement, an amount that was immaterial to AIMCo, Calfrac, and the private placement.
- [10] However, because AIMCo had subscribed for Lien Notes, its shares ought to have been excluded from the October 2020 vote to approve the TSX listing. Instead, as we explain in more detail below, AIMCo's shares were erroneously included in the vote. This error was not discovered until four months later, after the Arrangement had been approved by the Court of Queen's Bench of Alberta.
- [11] The erroneous inclusion of AIMCo's votes occurred despite:
- a. Calfrac's issuance of an August 2020 management information circular about the Arrangement, which explicitly stated that common shares held by shareholders who subscribed for Lien Notes would be excluded from the vote;
  - b. September 2020 advice from Calfrac's proxy solicitation agent, in response to an inquiry from Calfrac's outside counsel, that the proxy solicitation agent's audit "identified no entities to suggest AIMCo" had subscribed for the Lien Notes; and
  - c. a further confirmation from the proxy solicitation agent, the day before the October 2020 vote, that AIMCo had not been identified as a participant in the offering of the Lien Notes.

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<sup>1</sup> (2021) 44 OSCB 6041  
<sup>2</sup> RSC 1985, c C-44



- [12] Wilks, which had been a shareholder of Calfrac since 2014, held approximately 20% of Calfrac's common shares. Wilks opposed the recapitalization for several reasons, including that it would be dilutive, that it would not adequately address the challenges Calfrac was facing, and that it would confer significant benefits on certain parties, including Calfrac's founder and executive chair.
- [13] The resolution to approve the listing passed, with support from 57% of the voting shareholders, including AIMCo. Had AIMCo's votes been excluded, as they should have been, the resolution would have failed.
- [14] When the error was discovered in February 2021, it became clear that AIMCo had subscribed for the Lien Notes through a custodian that had a Toronto address and in the beneficial name of an entity that had no apparent connection to AIMCo. There is no evidence to suggest that this was done for any improper purpose. It was an immaterial transaction for AIMCo. AIMCo supported Calfrac's efforts and did not want to be excluded from the vote.
- [15] After Calfrac discovered the error, it notified the TSX, the Alberta Securities Commission, and the Alberta court that had approved the Arrangement. Calfrac also issued a press release.
- [16] In March 2021, Calfrac applied to the TSX for exemptive relief. Calfrac proposed to enter into an agreement with AIMCo (the **AIMCo Agreement**) that would fully rescind AIMCo's subscription for the Lien Notes. In essence, Calfrac asked the TSX to recognize AIMCo's desire to treat the vote as if AIMCo had not subscribed for the Lien Notes, thereby validating the inclusion of AIMCo's votes in support of the resolution, and confirming the previously announced approval of that resolution.
- [17] Soon after Calfrac applied to the TSX for relief, Wilks's counsel sent a letter to the TSX, responding to and opposing Calfrac's application. Later in March, the TSX advised that it was granting the exemptive relief that Calfrac sought. For the purposes of this proceeding, that decision by the TSX (the **TSX Decision**) comprises two documents – a memo prepared by TSX staff (the **Staff Memo**), and minutes of a meeting of the TSX's Listings Committee (the **Committee Minutes**), at which that committee considered the Staff Memo.

### III. LEGAL FRAMEWORK

- [18] We turn now to the legal framework that applies to Wilks's request that we review the TSX Decision.
- [19] Wilks brings this application under s. 21.7 of the *Securities Act*<sup>3</sup> (the **Act**). That section permits a company that is directly affected by a decision of various listed entities, including a recognized exchange (e.g., the TSX), to bring such an application.
- [20] On an application of this kind, the Commission conducts a hearing *de novo* rather than an appeal. In other words, the Commission exercises original jurisdiction rather than a more limited appellate jurisdiction.<sup>4</sup> The Commission may confirm the decision under review or make such other decision as it considers proper.<sup>5</sup>
- [21] The Commission need not defer to decisions of entities listed in s. 21.7 of the Act.<sup>6</sup> However, the Commission has chosen as a matter of practice to limit the circumstances under which it will substitute its own decision.<sup>7</sup> We expand on this choice below in our analysis of the merits of the application.

### IV. PRELIMINARY MATTERS

- [22] Before we analyze the merits, we set out our reasons for concluding that Wilks has standing to bring this application, and we address the request by three entities for intervenor status in this proceeding.

#### A. Wilks's standing to bring this application

##### 1. Introduction

- [23] Calfrac contended that Wilks should not have standing, because Wilks was not "directly affected by" the TSX Decision and therefore fails to meet the test in s. 21.7 of the Act. The parties agreed that the question should be resolved by a motion brought by Calfrac (the **Standing Motion**).
- [24] Calfrac submitted that the Standing Motion should be heard separately, before the hearing of the merits of Wilks's application. Wilks and Staff of the Commission disagreed.

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<sup>3</sup> RSO 1990, c S.5

<sup>4</sup> *HudBay Minerals Inc. (Re)*, 2009 ONSEC 15, (2009) 32 OSCB 3733 (**HudBay #2**) at paras 106-107

<sup>5</sup> Act, s. 8(3)

<sup>6</sup> *Johal v Funeral Services*, 2012 ONCA 785 at para 4

<sup>7</sup> *Pariak-Lukic v Investment Industry Regulatory Organization of Canada*, 2016 ONSC 2564 (Div Ct) at para 14

[25] We issued an order on June 9, 2021,<sup>8</sup> by which we communicated our decision not to bifurcate the two hearings, for reasons to follow. We set out our reasons here, and then address the question of Wilks's standing.

## 2. Whether to bifurcate the hearings

### (a) *Factual background*

[26] At the first attendance in this proceeding on May 18, 2021, Calfrac, Wilks and Staff agreed that the standing issue should be determined after all parties had filed both their evidence and their written submissions on the main application. In advance of those steps, the parties would file separate submissions on the question of whether to bifurcate the hearings.

[27] A few days after the first attendance, the parties advised that they had agreed on a schedule for the main application, should it proceed. Wilks and Calfrac would file all their evidence by June 22. No other party would file any evidence. The main application would be heard on July 12 and 13, at which time the parties could cross-examine those who had submitted affidavits.

[28] The agreed-upon schedule contemplated two alternatives:

- a. if the hearing of the Standing Motion were to be bifurcated from the hearing of the main application, then all written submissions on the main application would be filed by July 2, and the Standing Motion would be heard on July 7 (three business days before the hearing of the main application); or
- b. if the hearings were not to be bifurcated, then all written submissions on the main application would be filed by July 7 (three business days later than would have been the case under the first alternative), and the Standing Motion and main application would be heard together on July 12 and 13.

[29] Either way, the Standing Motion would be heard after all evidence and written submissions had already been filed. As we explain below, this fact was central to our decision not to bifurcate the hearings.

### (b) *Analysis*

[30] Calfrac submitted that the hearings should be bifurcated for two reasons.

[31] First, there is no urgency to this proceeding that would require a compressed timetable. It was common ground that this was so. There was no live transaction or similar source of time pressure.

[32] However, we see no connection between that fact and the question of whether the hearings in this case should be bifurcated. The overall timetable was established by agreement of all parties. The main application was to be heard on July 12 and 13 (if at all), whether the hearings were bifurcated or not. In the unusual circumstances of this case, the lack of urgency was not relevant to the question of bifurcation.

[33] Second, Calfrac submitted that the issue of standing could be determined preliminarily, and that doing so would avoid the unnecessary effort that would be required to resolve most of the issues on the main application.

[34] For us, this was the core issue. There is no question that we have the discretion to bifurcate the hearings. In determining whether we should do so, we considered the anticipated evidence and identified the issues relating to standing and to the merits of the application itself. Having done that, the question was whether it would be impractical or inefficient to separate the hearings.<sup>9</sup>

[35] We began our analysis by considering the two issues presented by the Standing Motion:

- a. Did the TSX Decision have an immediate effect on Wilks as opposed to a speculative effect?<sup>10</sup>
- b. Were Wilks's rights or economic interests directly affected in a way that is more than incidental and that is distinct from a general interest in the outcome?<sup>11</sup>

[36] Our decision not to separate the hearings was based primarily on our conclusions that:

- a. the two issues presented by the Standing Motion were intertwined with the issues that would arise at the hearing on the merits;

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<sup>8</sup> (2021) 44 OSCB 5138

<sup>9</sup> *Catalyst Capital Group Inc. (Re)*, 2016 ONSEC 14, (2016) 39 OSCB 4079 at para 45

<sup>10</sup> *Reuters Information Services (Canada) Limited (Re)*, (1997) 20 OSCB 2277 at 2281; *Independent Financial Brokers of Canada*, 2009 ONSEC 42, (2009) 32 OSCB 9048 at para 36

<sup>11</sup> *HudBay #2* at para 73; *Kasman (Re)*, 2008 ONSEC 26, (2008) 31 OSCB 11605 at paras 65-66

- b. contrary to Calfrac's submission that the outcome of the Standing Motion should depend almost entirely on a single fact, *i.e.*, that Wilks was not a holder of Lien Notes, in our view the outcome might well depend on a more extensive factual matrix; and
- c. therefore, it might well assist us to have all the evidence, including any cross-examination, and any such cross-examination would have to take place at the hearing of the Standing Motion.

[37] In addition, we were not persuaded that bifurcation would result in a more efficient process. If the Standing Motion were heard separately, the hearing of that motion would likely take most or all of a day. If we dismissed the motion and the merits hearing proceeded, the merits hearing would likely take at least a day. The total hearing time would therefore be approximately two days whether or not we ordered bifurcation. There would also be a risk of duplication of submissions between the two hearings.

[38] Further, bifurcation would not reduce preparation time by this panel. The materials were likely to be voluminous. If the hearings were separated, the Standing Motion would be heard only three business days before the merits hearing. Either way, we would have had to review all the materials before the hearing of the Standing Motion. Presumably, the same would go for all parties. No appreciable efficiency would be gained by bifurcation.

[39] For all these reasons, we ordered that the Standing Motion and the merits of the application be heard together.

[40] We turn now to our analysis of the Standing Motion itself.

### 3. Whether Wilks has standing

[41] Wilks has standing to bring this application if it can establish that it is "directly affected by" the TSX Decision. We agree with Wilks that it meets this test.

[42] As this Commission has previously held, one whose rights or economic interests have been affected by a decision of the TSX is directly affected by that decision.<sup>12</sup>

[43] The TSX Decision affected Wilks's rights and economic interests. It changed the parameters of a shareholder vote in which Wilks had participated. The TSX required that only disinterested shareholders approve the Lien Note private placement because the private placement would directly affect those disinterested shareholders.

[44] Wilks was a disinterested shareholder holding approximately 20% of Calfrac's common shares at the time of the Arrangement. Wilks opposed the dilutive effect of the transaction. Wilks and other disinterested shareholders were entitled to assume that only disinterested shareholders would vote. A correction to the determination of which shareholders were truly disinterested and therefore entitled to vote was fundamental to that vote, whether or not that correction would change the result.

[45] We reject Calfrac's attempt to characterize the TSX Decision as having had no impact on Wilks's right to vote. Of course, Wilks voted, and its votes were counted. But Wilks's interests do not stop there. Wilks had the right to know that the vote was open only to disinterested shareholders.

[46] Calfrac further argues that Wilks failed to adduce sufficient evidence of the extent of its interest in Calfrac. We reject this submission as well. While it is true that we had no evidence of the extent of Wilks's interest when Wilks brought this application or when we heard the application, we heard no persuasive reason why that information would matter.

[47] Wilks's shareholdings of Calfrac at the time of the vote were clearly specified in the TSX Decision. It is those shareholdings that should be considered when deciding whether Wilks was directly affected by the TSX Decision. Wilks objects to the TSX Decision based on the record that was before the TSX, not based on any later developments.

[48] A subsequent change in Wilks's shareholdings might, under some circumstances, affect the outcome of this application. However, Calfrac identified no such circumstances in this case. In any event, the question of whether there might be an effect on the outcome of this application is unrelated to the question of whether Wilks has standing to bring the application in the first place.

[49] Finally, we decline Calfrac's invitation to apply the distinction, made by the Commission in *Re HudBay Minerals Inc.*, between a "general interest" and a "personal and individual interest",<sup>13</sup> for two reasons:

- a. First, we reject Calfrac's assertion that Wilks is no differently situated than any other Calfrac shareholder. The extent of Wilks's shareholdings and the resulting leverage that Wilks might be able to apply in a shareholder vote distinguish Wilks from other shareholders.

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<sup>12</sup> *HudBay #2* at para 73

<sup>13</sup> *HudBay #2* at para 73

- b. Second, even if Wilks's shareholdings were less significant, it is unlikely that we would conclude that Wilks's interest was "general", in the way the Commission used that term in *HudBay*.

[50] Wilks was directly affected by the TSX Decision. It therefore has standing to bring this application.

## B. Intervenor

[51] Before turning to the substantive issues on this application, we address the request for intervenor status in this proceeding by three entities:

- a. Glendon Capital Management LP;
- b. Signature Global Asset Management, a division of CI Investments Inc.; and
- c. EdgePoint Investment Group, Inc.

[52] The three proposed intervenors are all investment management companies who were holders of Calfrac's unsecured notes prior to the recapitalization, and who supported Calfrac's intended recapitalization. Together, the three proposed intervenors subscribed for almost 30% of the Lien Notes.

[53] The three entities sought standing to make oral and written submissions in this proceeding, as contemplated by Rule 21(4) of the *Ontario Securities Commission Rules of Procedure and Forms*.<sup>14</sup>

[54] All parties to this proceeding consented to the proposed intervenors' request. In light of that consent, and in light of the fact that the proposed intervenors did not seek to adduce evidence, we concluded that they would bring a perspective different from that of the parties to the application, without appreciably lengthening the hearing or adding to its complexity. We therefore granted the request.

## V. ANALYSIS

### A. Introduction

[55] We turn now to the issues at the heart of this application. We begin by expanding on our earlier comments about the Commission's restraint with respect to decisions of self-regulatory organizations and exchanges. We then review each of Wilks's objections to the TSX Decision.

[56] We mentioned above that while the Commission need not defer to a self-regulatory organization or exchange, it has chosen to do so as a matter of practice. While a recognized exchange such as the TSX is not a self-regulatory organization as that term is used in the Act, the Commission's restraint regarding recognized exchanges aligns with the principle applicable to self-regulatory organizations, whose expertise the Commission is required by the Act to recognize.<sup>15</sup> With respect to the TSX in particular, the Commission's restrained approach is "based on the expertise of the exchange" and the care with which the TSX's listings committee "approaches its responsibilities".<sup>16</sup>

[57] The Commission has often stated<sup>17</sup> that it will interfere with a decision of a self-regulatory organization or recognized exchange only if:

- a. the decision maker proceeded on an incorrect principle;
- b. the decision maker erred in law;
- c. the decision maker overlooked some material evidence;
- d. new and compelling evidence is presented to the Commission that was not presented to the decision maker; or
- e. the decision maker's perception of the public interest conflicts with that of the Commission.

[58] The TSX submits that this approach is a "reasonableness standard". While there are some similarities, there are also differences. We decline to adopt the suggested reformulation.

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<sup>14</sup> (2019) 42 OSCB 9714

<sup>15</sup> Act, s. 2.1 para 4

<sup>16</sup> *Eco Oro Minerals Corp (Re)*, 2017 ONSEC 23, (2017) 40 OSCB 5321 (*Eco Oro*) at para 79

<sup>17</sup> *HudBay #2* at para 105; *Canada Malting Co. (Re)*, (1986) 9 OSCB 3565 (*Canada Malting*) at para 24; *Marek (Re)*, 2017 ONSEC 41, (2017) 40 OSCB 9167 at para 24

[59] Wilks submits that the TSX erred in four ways:

- a. it considered irrelevant grounds in exercising its discretion, and thereby proceeded on an incorrect principle and erred in law;
- b. it imposed a condition that was contrary to law, and thereby proceeded on an incorrect principle and erred in law;
- c. it overlooked material evidence; and
- d. it adopted a flawed view of the public interest.

[60] We will now address these four alleged errors.

## **B. Did the TSX consider irrelevant grounds, and thereby proceed on an incorrect principle and err in law?**

### **1. Introduction**

[61] The first error that Wilks alleges is that the TSX considered irrelevant grounds. We disagree.

[62] The TSX granted the exemptive relief under section 603 of the *TSX Company Manual*, which makes “the quality of the marketplace” the central consideration. The manual states that when the TSX exercises its discretionary authority under that section, the TSX will assess the effect the transaction may have on the quality of the marketplace it provides.

[63] As the Commission has previously noted, “the ‘quality of the marketplace’ is a broad concept of market integrity that requires a careful consideration of all the relevant factors in the particular circumstances”.<sup>18</sup> These considerations go beyond the issuer: “The interpretation and application of the provisions of the TSX Manual are not just matters affecting the relevant issuer and the TSX. Those provisions form part of the fabric of securities regulation and involve broader market integrity, investor protection and public interest considerations”.<sup>19</sup>

[64] The manual says that the TSX will base its assessment of the quality of the marketplace on six enumerated factors, among others. Wilks submits that the TSX addressed the six factors only perfunctorily and instead focused on irrelevant considerations. Wilks says that in doing so, the TSX proceeded on an incorrect principle and erred in law.

[65] We disagree with Wilks’s characterization. In our view, the TSX properly considered the enumerated factors and the impact of the relief sought on the quality of the marketplace.

[66] The six factors set out in the manual are as follows:

- a. the involvement of insiders or other related parties of the issuer in the transaction;
- b. the material effect on control of the issuer;
- c. the issuer’s corporate governance practices;
- d. the issuer’s disclosure practices;
- e. the size of the transaction relative to the liquidity of the issuer; and
- f. the existence of an order issued by a court or administrative regulatory body that has considered the security holders’ interests.

[67] While Wilks asserts broadly that the TSX addressed these factors perfunctorily, Wilks does not point to any of the factors specifically and explain how a more thorough examination of that factor might have changed the outcome.

[68] The Staff Memo reviews in detail sections 607(e) and (g) of the TSX manual, which deal with discount from market price and the need for approval by disinterested security holders in private placements. The Staff Memo notes that “both insiders, specifically, and shareholders ‘participating in the private placement’, generally, were required to be excluded from the vote for TSX approval purposes.”<sup>20</sup> It goes on to consider each of the six factors set out above, as well as two additional factors (*i.e.*, the need to unwind other transactions, and the unlikelihood that granting the discretionary relief would undermine the notion of predictability).

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<sup>18</sup> *HudBay #2* at para 212

<sup>19</sup> *HudBay Minerals Inc. (Re)*, (2009) 32 OSCB 1089 (*HudBay #1*) at para 36

<sup>20</sup> TSX Listings Committee Memo dated March 22, 2021, TSX Record, Tab 1A, pp. 11-12

- [69] Instead of specifying how a different consideration of the six factors ought to have changed the outcome, Wilks makes two main objections to the TSX's approach:
- a. First, the TSX Decision contemplated that if the Lien Note private placement were not permitted to stand, related transactions and a listing would need to be reversed. Wilks submits that this consideration is an extraneous and irrelevant factor.
  - b. Second, while the TSX cited the importance of predictability and enforcement of TSX rules, Wilks says that the TSX then ignored that factor in its decision. Wilks submits that the TSX improperly distinguished between purposeful and inadvertent breaches of its rules.

[70] We examine each of these two objections in turn.

## 2. Alleged need to reverse related transactions and listing

- [71] As Wilks observes, the TSX referred to a need to reverse related transactions, including a listing, if the Lien Note private placement were not permitted to stand. TSX staff highlighted this point in the Staff Memo by noting that the Arrangement included the following aspects, relevant to this issue:
- a. the Lien Note private placement was a condition of closing; and
  - b. it included three related transactions:
    - i. the issuance of publicly listed warrants;
    - ii. the consolidation of publicly traded shares; and
    - iii. the additional listing of publicly traded shares (the **Conversion Shares**) in exchange for debt.
- [72] The Staff Memo contemplates that if the Lien Note private placement were not allowed to stand, all three of these related transactions would "presumably need to be reversed, meaning that all post-Arrangement trading in the [three securities mentioned]... would need to be unwound." TSX staff observed that doing so "would result in great uncertainty in the market."<sup>21</sup>
- [73] Wilks submits that the concern with unwinding the transactions and any subsequent trades should have had no place in an evaluation of the quality of the marketplace.
- [74] We do not accept that as a general proposition. We agree with the intervenors' submission that the quality of the marketplace is enhanced where stakeholders can be certain that court-approved arrangements, and in particular the attributes of securities issued in connection with such arrangements, will not be subject to retroactive modification.
- [75] The passage of time between the listing of the Conversion Shares and Calfrac's application to the TSX did limit the TSX's ability to unwind the entire group of transactions. If any noteholder were to exercise the conversion option, the Conversion Shares issued as a result would join the pool of fungible common shares of Calfrac. There would be no way to trace the Conversion Shares after their issuance, and similarly, there would be no practical way to reverse the listing of those shares. The Committee Minutes acknowledge that the TSX had the jurisdiction to rescind its approval of the listing. However, the minutes also record the TSX's conclusion that the quality of the marketplace could be greatly harmed if the TSX were to do so.
- [76] In response, Wilks submits that in this case, the above analysis by the TSX is based on a false premise. Wilks argues that nothing the TSX could have done would have taken the Lien Notes out of the hands of their holders. The TSX had no authority to unwind the private placement and related transactions. Had the TSX refused exemptive relief, there would have been no need to reverse related transactions, there would have been no impact on post-arrangement trading, and there would have been no need to unwind anything. All settled transactions and trades would have remained settled. In that regard, says Wilks, the analysis set out in the TSX Decision is simply wrong.
- [77] We agree with Wilks that there may not have been a need to unwind related transactions if the Lien Note private placement had not been allowed to stand. However, we also agree with the intervenors that there would have been real consequences suffered by investors if the TSX had denied Calfrac's request for relief. In any event, we do not find that the TSX based its decision primarily on the need to unwind transactions. That consideration was but one of many.

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<sup>21</sup> Staff Memo, p. 10

### 3. Importance of predictability and enforcement of TSX rules

#### (a) Introduction

[78] Wilks's second submission in support of its contention that the TSX focused on irrelevant factors relates to the importance of predictability and enforcement of TSX rules. We begin by considering that submission generally, following which we address Wilks's submission that the TSX impermissibly distinguished between deliberate and inadvertent breaches of rules.

#### (b) Enforcement of TSX rules generally

[79] The Staff Memo explicitly refers to the importance of the enforcement of TSX rules. It states that a "key factor in a quality marketplace is predictability i.e. participants should be able to rely on marketplace standards being adhered to".

[80] Wilks is more absolute in its submissions. It begins by making the uncontroversial assertion that the listing by a company of its securities on the TSX is a privilege, not a right. However, Wilks then goes on to state categorically that issuers that do not follow the rules should not be listed on the TSX.

[81] Wilks also submits that the quality of the market provided by the TSX is "wholly dependent" on the extent to which the TSX enforces compliance with its rules by listed companies, and that investors who trade in TSX-listed securities expect that listed companies will be held to "strict compliance" with the exchange's rules. Those quoted phrases from Wilks's written submissions are neither supported by authority nor helpful in this context.

[82] On the contrary, the TSX manual expressly provides that the TSX can exercise discretion when it applies its rules or waives its requirements, including the requirements of section 607 of the manual relating to the exclusion of shareholders from a vote. In our view, that discretion forms part of the framework of the TSX rules. In this case, it was open to the TSX to choose not to strictly apply section 607 of the manual in circumstances where AIMCo was clearly not motivated to vote by its "interest" in the Lien Note private placement, a fact clearly established by the existence of the AIMCo Agreement.

[83] Wilks submits that even though the Staff Memo describes predictability as a "key factor", the Listings Committee ignored that factor when making its decision. However, we note that the Committee Minutes explicitly state that:

- a. the committee considered the factors set out in the Staff Memo; and
- b. the committee concluded that "the likelihood of setting a bad precedent for issuer conduct appears to be limited."<sup>22</sup>

[84] This latter conclusion is consistent with the nuanced approach evident in the Staff Memo. That memo acknowledges that describing the vote as having been limited to disinterested shareholders would be outside the predictable interpretation of TSX policy, given AIMCo's participation. However, the memo notes that the risk of creating an "unfortunate marketplace precedent" by granting exemptive relief would be low, given the unusual circumstances.

[85] Given these references in the Staff Memo and the Committee Minutes, it cannot fairly be said that the TSX ignored predictability.

[86] Administrative decision makers need not provide perfect and complete detail when recording the reasons for their decisions. They need only provide a reasonable explanation for their decision.<sup>23</sup> The TSX benefits from that latitude in this case, especially given that the TSX did not conduct a hearing in the conventional sense. In our view, the Staff Memo and Committee Minutes, taken together, adequately consider the importance of predictability and enforcement.

#### (c) Distinction between purposeful and inadvertent breaches of TSX rules

[87] We now consider the TSX's conclusion that it would be prepared to delist an issuer in order to prevent it from "purposefully" breaching TSX rules, but not when an issuer does "not act with 'mala fides'". Wilks submits that this is highly problematic and contrary to the TSX's own acknowledgement that "participants should be able to rely on marketplace standards being adhered to".<sup>24</sup>

[88] As we have explained above, we do not accept Wilks's reformulation of the applicable test. It is true that participants should be able to rely on adherence to marketplace standards. That does not preclude the exercise of reasonable discretion, and nor should it. The public interest demands a nuanced approach, as opposed to strict enforcement without exception. The distinction between purposeful and inadvertent breaches of rules is an important element of the discretion associated with enforcement.

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<sup>22</sup> TSX Listings Committee Meeting Summary dated March 24, 2021, TSX Record, Tab 1, p. 2

<sup>23</sup> *Newfoundland and Labrador Nurses' Union v. Newfoundland and Labrador (Treasury Board)*, 2011 SCC 62 at paras 16 and 18; *Canada (Minister of Citizenship and Immigration) v. Vavilov*, 2019 SCC 65 at para 1

<sup>24</sup> Staff Memo, p. 14

[89] In this case, the TSX had an adequate factual basis to apply that principle. The TSX was entitled to make its decision on that basis.<sup>25</sup> We reject the suggestion that because the TSX decision-making process does not include a thorough investigation, the TSX is precluded from relying on the facts before it. In this case, the facts before the TSX were detailed and were uncontested in every material respect.

[90] Those uncontested facts reveal that even though AIMCo's votes were erroneously included, the error was truly inadvertent and there was no hint of bad faith. It is true, as Wilks emphasizes, that the Committee Minutes describe the error as "a matter of significant non-compliance with TSX rules". However, that description is not inconsistent with the isolated and inadvertent nature of the error.

[91] It was not only appropriate for the TSX to take into account the true nature of the error – it was important for it to do so.

#### 4. Conclusion that the TSX did not consider irrelevant grounds

[92] In our view, the TSX appropriately considered the six factors set out in section 603 of the manual, as well as the additional factors noted above, when it exercised its discretion to grant the exemptive relief. In particular:

- a. the TSX appropriately defined the "quality of the marketplace" and applied the relevant factors, as set out in the manual, to the case before it;
- b. the TSX Decision protects the quality of the marketplace by providing a remedy that respects the court-approved arrangement;
- c. the TSX adequately addressed the importance of predictability and enforcement; and
- d. the TSX appropriately noted that the rule breach in this case was neither purposeful nor accompanied by bad faith.

[93] We turn now to consider the second of Wilks's four alleged errors; namely, that the TSX imposed an illegal condition.

#### C. Did the TSX impose a condition that was contrary to law, and thereby proceed on an incorrect principle and err in law?

##### 1. Introduction

[94] Wilks submits that we should intervene because the TSX imposed a condition that was contrary to law, and thereby proceeded on an incorrect principle and erred in law. The condition in question is the AIMCo Agreement, which Calfrac proposed to the TSX when Calfrac applied for exemptive relief.

[95] The TSX accepted Calfrac's proposal that exemptive relief be dependent upon the AIMCo Agreement, pursuant to which Calfrac would repurchase and cancel the Lien Notes issued to AIMCo, with a payment to AIMCo of \$1.05 million less the interest payment made by Calfrac to AIMCo on March 15, 2021.

[96] Wilks submits that the AIMCo Agreement was in substance an issuer bid that did not comply with National Instrument 62-104 *Take-Over Bids and Issuer Bids (NI 62-104)*. As a result, the condition was an impermissible violation of s. 21.6 of the Act, which provides that no "policy, procedure, interpretation or practice of a recognized exchange... shall contravene Ontario securities law".

[97] NI 62-104 is part of Ontario securities law, as that term is defined in s. 1(1) of the Act. It was common ground among the parties, and we agree, that if the AIMCo Agreement condition contravenes NI 62-104, the condition was impermissible.

[98] The parties answer Wilks's submission in two ways:

- a. Calfrac observes that Wilks did not make this argument to the TSX, raising it for the first time in the hearing before us. Calfrac says that the TSX cannot be faulted for not addressing an issue that was not identified at the time.
- b. Calfrac submits that the AIMCo Agreement is not an issuer bid. Staff adds that even if the AIMCo Agreement can be said to fall within a technical reading of NI 62-104, it does not engage the policy purpose of NI 62-104 and should therefore not be found to contravene that instrument.

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<sup>25</sup> *HudBay #2* at para 139



[99] Our analysis of those submissions follows. Through that analysis, we conclude that:

- a. Wilks was entitled to make this argument before us; and
- b. the AIMCo Agreement is not an issuer bid, as that term is defined in NI 62-104.

**2. Wilks was entitled to argue at this hearing, for the first time, that the AIMCo Agreement condition is illegal**

[100] Calfrac submits that it is “inappropriate for an issue of this nature to be raised for the first time in an application for hearing and review.”<sup>26</sup>

[101] Calfrac offers no authority for that submission. We reject it. We infer that Calfrac seeks to have us apply constraints that appellate courts sometimes impose when reviewing decisions of lower courts. In some circumstances, appellate courts will decline to hear arguments on an issue that was not raised in the court below.

[102] That kind of limitation does not suit the Commission’s review of decisions of recognized exchanges such as the TSX, for three reasons. First, as we explained above, our review of a TSX decision under s. 21.7 of the Act is a hearing *de novo*, not an appeal. Second, unlike a court proceeding, the TSX’s decision-making process features neither open preliminary discovery of opposing parties’ positions nor a hearing at which those positions are aired and tested by the decision-maker. Third, imposing that kind of limitation in circumstances such as these would preclude an objection that the TSX did something it did not have the authority to do. The Commission must be able to consider an argument that the TSX imposed an illegal condition.

[103] For these reasons, there is no bar to Wilks raising this issue before us for the first time. We will therefore turn to review the parties’ submissions on the issue.

**3. The AIMCo Agreement is not an issuer bid, as that term is defined in NI 62-104**

[104] An “issuer bid” is defined in NI 62-104 as “an offer to acquire or redeem securities of an issuer made by the issuer to one or more persons.”<sup>27</sup>

[105] Wilks submits that the AIMCo Agreement comes within this definition, in that the agreement provided for an acquisition or redemption of AIMCo’s Lien Notes by Calfrac, the issuer of those notes.

[106] While that argument has superficial appeal, we disagree that NI 62-104, properly interpreted, applies to the AIMCo Agreement.

[107] Importantly, the AIMCo Agreement restored Calfrac and AIMCo to the positions they would have been in had AIMCo not subscribed for Lien Notes. The agreement effectively rendered AIMCo’s contract to purchase the Lien Notes as void *ab initio* (from the beginning). The agreement netted interest that AIMCo had received on the notes. It was a true rescission.

[108] A rescission is not the same as an offer to acquire or redeem. A rescission acts to annul an earlier transaction. An offer to acquire or redeem is a subsequent and separate transaction.

[109] This conceptual distinction is exemplified in, among other places, s. 128(3) of the Act, which gives the Superior Court of Justice the power to make various orders where a person or company has not complied with Ontario securities law. Among the enumerated options are an “order rescinding any transaction entered into... including the issuance of securities”<sup>28</sup> and an “order requiring the... cancellation... or disposition of any securities.”<sup>29</sup>

[110] The existence of those two separate options reinforces the distinction between a rescission and an offer to acquire or redeem.

[111] Furthermore, there is no sound reason to apply NI 62-104 to a situation that clearly falls outside the policy rationale underlying that instrument. That policy rationale is reflected in National Policy 62-203 *Take-Over Bids and Issuer Bids*, which refers to itself together with NI 62-104 as the “Bid Regime”. Section 2.1 of the National Policy states that the Bid Regime is designed to establish a framework for the conduct of bids in a manner that achieves, among other things, “equal treatment of offeree issuer security holders”.

[112] The AIMCo Agreement does not engage this policy consideration. There is no suggestion that holders of the Lien Notes, other than AIMCo, ought to have been offered the opportunity to rescind their subscription. Nor is there any evidence that Calfrac and AIMCo entered into the AIMCo Agreement with the intention of avoiding the issuer bid requirements.

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<sup>26</sup> Calfrac’s written submissions at para 132

<sup>27</sup> NI 62-104, s. 1.1

<sup>28</sup> Act, s. 128(3) para 4

<sup>29</sup> Act, s. 128(3) para 5

[113] Accordingly, we conclude that the AIMCo Agreement is not an issuer bid. We therefore reject Wilks's contention that the TSX imposed an illegal condition.

**D. Did the TSX overlook material evidence?**

[114] We turn now to the third of Wilks's four grounds in support of its request that we interfere with the TSX Decision. Wilks submits that the TSX overlooked material evidence, although in particularizing that submission, Wilks identifies four concerns, none of which falls into the category. This branch of the test for the Commission's interference with a TSX decision contemplates that the TSX had before it evidence that was material to the issues that the TSX had to resolve, but the TSX missed considering that material evidence.

[115] The first of Wilks's four concerns is that the TSX misunderstood evidence relating to the possible need to reverse related transactions. However, misunderstanding evidence is not the same as overlooking evidence. We have already addressed the question of the need to reverse related transactions, and Wilks has pointed to no material evidence that was missed by the TSX in coming to its conclusion on this issue.

[116] Wilks's second concern is that the TSX overlooked the requirements of NI 62-104 relating to issuer bids. Those requirements are not evidence, and we earlier concluded that the AIMCo Agreement was not an issuer bid.

[117] Wilks's third concern arises from a reference in the Staff Memo to Calfrac's representation to the TSX that Calfrac had undertaken proper due diligence to ensure that only eligible shareholders were allowed to vote on the resolution relating to the Lien Notes. Wilks asserts that this representation was false, as is evidenced by the erroneous inclusion of AIMCo among eligible voting shareholders. Once again, Wilks fails to identify material evidence that the TSX overlooked. Wilks simply disagrees with the TSX's conclusion that Calfrac acted in good faith.

[118] Wilks's fourth concern is that the TSX, in making its decision, relied on the absence of shareholder complaints to Calfrac. Wilks submits that the TSX ought not to have relied on this fact, because shareholders were not properly informed.

[119] It does not appear to us that the absence of shareholder complaints was a determining factor in the TSX Decision. In any event, we would not consider the presence or absence of shareholder complaints in this case to have been material to the TSX. That makes the question of whether shareholders were properly informed an irrelevant one, although we note that at the TSX's request, Calfrac issued a press release on March 12, 2021, announcing that it had filed its request for relief with the TSX.

[120] Wilks did not persuade us that any of its four concerns amount to the TSX having overlooked material evidence in coming to its decision.

**E. Should the Commission find that the TSX's perception of the public interest conflicts with that of the Commission?**

[121] Finally, Wilks submits that the TSX incorrectly perceived the public interest in reaching its decision. We disagree.

[122] There is no question that the application of TSX rules invokes important public interest considerations,<sup>30</sup> and that an evaluation of those considerations requires an assessment of whether conduct "thwart[s] the justified expectations of shareholders trusting in a system that appropriately promotes shareholder democracy...".<sup>31</sup>

[123] However, we do not accept Wilks's characterization of the TSX Decision; namely, that it effectively provides that matters of significant non-compliance with TSX rules, if claimed by an issuer to be inadvertent, should essentially be excused. As we explained above, the TSX adopted a nuanced and proportionate approach to enforcement of its rules. It did so with appropriate reference to all the relevant circumstances, including:

- a. the severity and inadvertent character of Calfrac's non-compliance;
- b. the time that had elapsed since the non-compliance;
- c. the interests of other involved parties, including the intervenors in this proceeding, who had advanced funding to Calfrac on the understanding that all common shares of Calfrac, including any shares obtained by conversion of the Lien Notes, would be listed on the TSX;
- d. remedial measures, including the AIMCo Agreement and other conditions imposed on Calfrac;

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<sup>30</sup> *HudBay #1* at para 36

<sup>31</sup> *Eco Oro* at para 125

- e. the unlikelihood of a recurrence; and
- f. the effect on the quality of the marketplace generally.

[124] Accordingly, we reject the suggestion that the TSX Decision thwarts the justified expectations of market participants. The TSX properly considered the public interest.

**VI. CONCLUSION**

[125] We found that none of the concerns raised by Wilks justified our interfering with the TSX Decision. In particular, we concluded that:

- a. the TSX did not inappropriately consider or focus on irrelevant grounds in reaching its decision;
- b. the AIMCo Agreement was a true rescission of AIMCo's earlier subscription for Lien Notes, was not an issuer bid by Calfrac, and therefore was not an illegal condition imposed by the TSX;
- c. the TSX did not overlook material evidence; and
- d. the TSX appropriately considered the public interest in reaching its decision.

[126] For these reasons, we dismissed Wilks's application.

Dated at Toronto this 6th day of October, 2021.

"Timothy Moseley"

"Lawrence P. Haber"

"Frances Kordyback"

3.1.3 Daniel Sheehan – ss. 127, 127.1

Citation: *Sheehan (Re)*, 2021 ONSEC 26

October 12, 2021

File No. 2020-38

IN THE MATTER OF  
DANIEL SHEEHAN

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

Hearing:	October 7, 2021	
Decision:	October 12, 2021	
Panel:	Wendy Berman	Vice-Chair and Chair of the Panel
Appearances:	Rikin Morzaria	For Staff of the Commission
	Caitlin Sainsbury	For Daniel Sheehan

REASONS FOR APPROVAL OF A SETTLEMENT

I. OVERVIEW

- [1] Staff of the Ontario Securities Commission (**Staff of the Commission**), and Daniel Sheehan have jointly submitted that it would be in the public interest to approve a settlement agreement entered into between Mr. Sheehan and Staff dated October 4, 2021 (the **Settlement Agreement**).
- [2] This matter concerns allegations described in the Statement of Allegations dated November 3, 2020. Specifically, Staff allege that Mr. Sheehan contravened Ontario securities law by engaging in the business of trading and advising in securities and by acting as an investment fund manager without registration and where no exemptions were available.
- [3] After considering the Settlement Agreement and the submissions of the parties, I have concluded that it would be in the public interest to approve the Settlement Agreement. These are my reasons.

II. SUMMARY OF THE FACTS

- [4] The underlying facts and the specific breaches of Ontario securities laws are fully set out in the Settlement Agreement, which has been filed with the Commission and is publicly available. Accordingly, I need not repeat them in detail here.
- [5] In summary, during a 10-year period from September 28, 2009 to April 30, 2019, Mr. Sheehan raised approximately \$25 million from about 50 Ontario investors and invested these funds in publicly traded equities, fixed income securities and exchange-traded derivatives.
- [6] Mr. Sheehan carried on this activity through an Ontario limited partnership, Sheehan Associates Limited Partnership (**SALP**), and had authority to make all decisions regarding the business of the partnership, including all investment decisions.
- [7] Prior to commencing these investment management services, Mr. Sheehan sought and obtained legal advice from an experienced securities lawyer on the business structure and securities law requirements. The securities lawyer drafted and advised on the partnership agreement, including the performance-based compensation terms.
- [8] Importantly, the securities lawyer advised Mr. Sheehan that SALP was a private investment club and registration was not required.
- [9] The performance-based compensation terms in the partnership agreement provided that Mr. Sheehan would be paid an annual performance fee equal to 25% of the returns on partnership capital over 6%. The compensation terms were amended twice, with the last amendment reducing compensation to 12.5% on partnership returns above 6% on invested capital in excess of \$450,000.
- [10] Mr. Sheehan received significant performance-based compensation of \$21 million during this period and investors received an annual compounded return of approximately 18.5%.
- [11] To qualify as a private investment club, Mr. Sheehan would not have been able to receive compensation beyond normal brokerage fees for his services. The securities lawyer advised on the structure of the compensation as reflected in the partnership agreement and did not advise Mr. Sheehan of this requirement.

- [12] Mr. Sheehan did not seek or obtain further legal advice, including when significant amendments were made to the registration requirements in the *Securities Act*<sup>1</sup> (the **Act**) which, among other things, added a new requirement of registration to act as an investment fund manager.
- [13] SALP has been permanently wound up and Mr. Sheehan paid each investor the full amount of their invested capital plus their proportional share of investment returns net of his performance-based compensation. In the course of winding up SALP, Mr. Sheehan waived his 2019 performance-based compensation of \$2,364,577.72.
- [14] Mr. Sheehan has never been registered under the Act to engage in the business of trading or advising in securities or to act as an investment fund manager.
- [15] Mr. Sheehan has admitted that he engaged in the business of trading and advising in securities and acting as an investment fund manager without registration or an exemption contrary to subsections 25(1), 25(3) and 25(4) of the Act.
- [16] As part of the Settlement Agreement, the parties agreed to the following:
- a. Mr. Sheehan will make a voluntary payment of \$1,600,000 to the Commission; and
  - b. Mr. Sheehan will pay the costs of the Commission's investigation in the amount of \$100,000.
- [17] In addition, Mr. Sheehan has provided an undertaking to Staff that he will not apply for registration for a period of one year following the date of the Order approving the Settlement Agreement.
- [18] Mr. Sheehan agreed to make the payments of \$1,600,000 and \$100,000 in advance of the hearing. Staff confirmed that he has done so.

### III. LAW AND ANALYSIS

- [19] The Commission's role at a settlement hearing is to determine whether the terms of the settlement fall within a range of reasonable outcomes in the circumstances and whether the approval of the settlement is in the public interest.<sup>2</sup>
- [20] The Settlement Agreement is the result of extensive negotiations between Staff and Mr. Sheehan, both ably represented by counsel. The Commission respects the negotiation process and accords significant deference to the resolution reached by the parties.<sup>3</sup>
- [21] Settlements serve the public interest in resolving regulatory proceedings promptly, efficiently and with certainty. Settlements avoid the significant resources that would be incurred in a contested proceeding and promote timely statements regarding regulatory requirements and standards to all capital market participants.
- [22] I have reviewed the Settlement Agreement in detail and considered the submissions of counsel for the parties. I also conducted a confidential settlement conference with counsel for the parties during which I reviewed the proposed Settlement Agreement, asked questions of counsel and heard their submissions.
- [23] In assessing whether it is in the public interest to approve the settlement, I considered various aggravating and mitigating factors.
- [24] The breaches of Ontario securities law in this matter are serious. Registration is a cornerstone of securities law designed to ensure that those who sell or promote securities are proficient, solvent and act with integrity.<sup>4</sup> Facilitation of unregistered trading and advising defeats some of these necessary legal protections and undermines investor protection and the integrity of the capital markets.
- [25] The unregistered trading and advising activities by Mr. Sheehan occurred over a lengthy period and on a significant scale. Mr. Sheehan, through SALP, raised \$25 million of invested funds from approximately 50 investors and received \$21 million in compensation over a 10-year period.
- [26] This matter also involves unique mitigating circumstances, which include that:
- a. Mr. Sheehan sought and obtained legal advice from an experienced securities lawyer on structuring the business and any legal requirements including registration requirements prior to commencing these activities;
  - b. The securities lawyer advised Mr. Sheehan that SALP was a private investment club and registration was not required under Ontario securities laws;

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<sup>1</sup> RSO 1990, c S.5

<sup>2</sup> *Research in Motion Limited (Re)*, 2009 ONSEC 19, (2009) 32 OSCB 4434 (*Research in Motion*) at paras 44-46

<sup>3</sup> *Katanga Mining Limited (Re)*, 2018 ONSEC 59, (2018) 41 OSCB 9987 at para 18; *Research in Motion* at para 45

<sup>4</sup> *MRS Sciences Incorporated (Re)*, 2014 ONSEC 14, (2014) 37 OSCB 5611 at para 88

- c. The performance compensation paid to Mr. Sheehan was based on a structure established by the securities lawyer and terms drafted by the securities lawyer. The securities lawyer did not advise Mr. Sheehan that to qualify as a private investment club, Mr. Sheehan was not permitted to take compensation beyond normal brokerage fees;
- d. Mr. Sheehan reasonably relied in good faith on the legal advice from the securities lawyer;
- e. Mr. Sheehan did not engage in any dishonest or intentional misconduct; and
- f. Mr. Sheehan did not intend to, nor knowingly, act contrary to the Act.

[27] The Commission has previously considered legal advice as a relevant factor in the determination of appropriate sanctions for a contravention of the Act.<sup>5</sup>

[28] In my view, Mr. Sheehan acted responsibly and exercised reasonable diligence by seeking and obtaining legal advice from an experienced securities lawyer on the structure of the partnership and any securities registration requirements prior to commencing any investment management services. He reasonably relied in good faith on the advice that the proposed investment activities through the SALP structure would not require registration under Ontario securities laws.

[29] This good faith reliance on specialized legal advice is a significant mitigating factor in my consideration of whether the terms of the Settlement Agreement fall within a range of reasonable outcomes.

[30] I also considered the following additional mitigating factors:

- a. Mr. Sheehan did not solicit investors to SALP;
- b. No investors suffered any harm arising from these investment activities and Staff is not aware of any complaints from any SALP investors. Upon the windup of SALP, Mr. Sheehan paid each investor the full amount of their invested capital and their proportional share of investment returns net of his performance-based compensation;
- c. Mr. Sheehan waived his 2019 performance-based compensation of \$2,364,577.72 during the windup of SALP; and
- d. Mr. Sheehan has accepted responsibility for his actions through detailed admissions without the need for protracted proceedings and his agreement to settle the proceedings will avoid the use of the significant Staff and Commission resources for a full merits hearing.

[31] As outlined above, I have considered the totality of the circumstances, including the seriousness of the misconduct, the nature and duration of the misconduct, and the above mitigating factors in my assessment of the proposed settlement terms.

#### IV. CONCLUSION

[32] In my view, the terms of the Settlement Agreement fall within a range of reasonable dispositions in the circumstances and will have a significant deterrent effect on Mr. Sheehan and others.

[33] The terms of the Settlement Agreement, including the significant monetary payments and the undertaking, hold Mr. Sheehan accountable for his conduct and further the protective purposes of the Act.

[34] The settlement also demonstrates that compliance with registration requirements will be enforced even in circumstances where the individual or entity did not engage in any intentional misconduct or any dishonest or abusive conduct and exercised diligence in obtaining specialized legal advice.

[35] In my view, the settlement terms in the circumstances appropriately reflect the principles applicable to sanctions, including the importance of fostering investor protection and confidence in the market, recognition of the nature and circumstances of the misconduct, and recognition of and the need for specific and general deterrence of such misconduct.

[36] For these reasons, I conclude that the Settlement Agreement is in the public interest. I approve the Settlement Agreement on the terms proposed by the parties and will issue an order substantially in the form requested.

Dated at Toronto this 12th day of October, 2021.

“Wendy Berman”

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<sup>5</sup> *Bloomberg Trading Facility Limited (Re)*, 2020 ONSEC 31, (2020) 43 OSCB 9721 at para 15; *Energy Syndications Incorporated (Re)*, 2013 ONSEC 24, (2013) 36 OSCB 6500 at para 83

## 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
GetSwift Technologies Limited	October 5, 2021	
New Wave Holdings Corp.	October 5, 2021	
iMining Technologies Inc.	October 5, 2021	
Koios Beverage Corp.	October 5, 2021	
Haltain Developments Corp.	October 6, 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
Akumin Inc.	August 20, 2021	
Agrios Global Holdings Ltd.	September 17, 2020	
New Wave Holdings Corp.	August 3, 2021	
Reservoir Capital Corp.	May 5, 2021	
AION THERAPEUTIC INC.	September 1, 2021	
DGTL Holdings Inc.	September 30, 2021	

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# Chapter 7

## Insider Reporting

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The following is a weekly summary of insider transactions by insiders of *Ontario reporting issuers* in SEDI® (the System for Electronic Disclosure by Insiders).<sup>1</sup> 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).<sup>2</sup>

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### 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.

<sup>1</sup> SEDI® is a registered trademark owned by CDS INC.

<sup>2</sup> ©CDS INC.

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
1111 Exploration Corp.	Options	Sweatman, Michael	4	2021-08-05	00			
1111 Exploration Corp.	Options	Sweatman, Michael	4	2021-10-07	50	0.1	150,000	150,000
49 North Resources Inc.	Rights	Davidson, Andrew	4, 5	2010-10-15	00			
49 North Resources Inc.	Rights	Davidson, Andrew	4, 5	2021-10-04	56	0.02	555,398	555,398
49 North Resources Inc.	Rights	Davidson, Andrew	4, 5	2010-10-15	00			
49 North Resources Inc.	Rights	Davidson, Andrew	4, 5	2021-10-04	56	0.02	3,700,000	3,700,000
49 North Resources Inc.	Rights	MacNeill, Tom	3, 4, 7, 5	2005-07-19	00			
49 North Resources Inc.	Rights	MacNeill, Tom	3, 4, 7, 5	2021-10-04	56	0.02	10,052,980	10,052,980
A&W Revenue Royalties Income Fund	Trust Units	Glowinsky, Fern Tammy	4	2021-10-01	10	37.43	822	3
AbrSilver Resource Corp.	Common Shares	Pinglo, Carlos	5	2021-10-06	10	0.405	0	-100,000
Ackroo Inc.	Common Shares	Hart, Paul	5	2021-10-01	00		160,000	
ADCORE Inc.	Common Shares	Brill, Omri	3, 4, 5	2021-10-06	10	0.92	40,863,194	11,040
ADCORE Inc.	Common Shares	Brill, Omri	3, 4, 5	2021-10-07	10	0.89	40,869,679	6,485
ADCORE Inc.	Common Shares	Brill, Omri	3, 4, 5	2021-10-07	10	0.94	40,876,164	6,485
ADCORE Inc.	Common Shares	Orgil, Oded	4	2021-07-27	00			
ADCORE Inc.	Common Shares	Orgil, Oded	4	2021-07-27	00			
ADCORE Inc.	Common Shares	Orgil, Oded	4	2021-10-07	10	0.89	10,000	10,000
ADCORE Inc.	Common Shares	Orgil, Oded	4	2021-07-27	00			
ADCORE Inc.	Common Shares	Orgil, Oded	4	2021-10-07	10	0.89	15,000	15,000
Advantage Energy Ltd.	Rights Deferred Share Units	Angevine, Jill Terilee	4	2021-09-30	56		119,961	814
Advantage Energy Ltd.	Rights Deferred Share Units	Balog, Stephen	4	2021-09-30	56		129,074	814
Advantage Energy Ltd.	Rights Deferred Share Units	Choate, Deirdre Mary	4	2021-09-30	56		2,619	407
Advantage Energy Ltd.	Rights Deferred Share Units	Clague, Donald M.	4	2021-09-30	56		31,905	814
Advantage Energy Ltd.	Rights Deferred Share Units	Haggis, Paul	4	2021-09-30	56		142,824	895
Advantage Energy Ltd.	Rights Deferred Share Units	MacDonald, Norman	4	2021-09-30	56		5,238	814
Advantage Energy Ltd.	Common Shares	Mah, Andy	5	2021-10-04	10	6.3	860,624	-450,000
Advantage Energy Ltd.	Common Shares	Mah, Andy	5	2021-10-05	10	6.24	610,624	-250,000
Advantage Energy Ltd.	Rights Deferred Share Units	McIntosh, Ronald A	4	2021-09-30	56		196,947	1,237
Advantex Marketing International Inc.	Common Shares	Abramson, Randall	3	2021-10-08	97		1,701,105,122	-242,849
Advantex Marketing International Inc.	Debentures	Abramson, Randall	3	2021-10-08	97		\$2,172,970	-\$18,000
AGF Management Limited	Common Shares ESOP - Cash	BASARABA, Adrian	5	2021-09-30	30	7.56	13,137	1,833
AGF Management Limited	Common Shares ESOP - RRSP	BASARABA, Adrian	5	2021-09-30	30	7.7	5,256	60
AGF Management Limited	Common Shares ESP Vested	BASARABA, Adrian	5	2021-09-30	30	7.7	20,139	232
AGF Management Limited	Common Shares ESP Vested	Goldring, Blake Charles	4, 5	2021-09-30	30	7.7	96,110	1,110
AGF Management Limited	Common Shares ESOP - Cash	Goldring, Judy	4, 5	2021-09-30	30	7.6	94,766	3,016
AGF Management Limited	Common Shares ESOP - Select Plan	Goldring, Judy	4, 5	2021-09-30	30	7.7	5,631	65
AGF Management Limited	Common Shares ESP Vested	Goldring, Judy	4, 5	2021-09-30	30	7.7	55,087	636
AGF Management Limited	Common Shares ESOP - Cash	Jackson, Charles Christopher	5	2021-09-30	30	7.6	62,689	2,179
AGF Management Limited	Common Shares ESP Vested	Jackson, Charles Christopher	5	2021-09-30	30	7.7	58,663	677

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
AGF Management Limited	Common Shares ESOP - Cash	MCCREADIE, KEVIN ANDREW	5	2021-09-30	30	7.59	91,061	4,117
AGF Management Limited	Common Shares ESP Vested	MCCREADIE, KEVIN ANDREW	5	2021-09-30	30	7.7	206,325	2,383
Agnico Eagle Mines Limited	Common Shares	Al-Joundi, Ammar	5	2021-09-30	30	64.41	120,890	579
Agnico Eagle Mines Limited	Common Shares	Girard, Dominique	5	2021-09-30	30	64.41	10,832	266
Agnico Eagle Mines Limited	Common Shares	Gosselin, Guy	5	2021-09-30	30	64.41	20,155	265
Agnico Eagle Mines Limited	Common Shares	Legault, Marc	5	2021-09-30	30	64.41	78,139	303
Agnico Eagle Mines Limited	Common Shares	Plummer-Therault, Carol-Ann	5	2021-09-30	30	64.41	21,558	265
Agnico Eagle Mines Limited	Common Shares	Robitaille, Jean	5	2021-09-30	30	64.41	73,938	360
Agnico Eagle Mines Limited	Common Shares	Smith, David	5	2021-09-30	30	64.41	37,498	439
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2021-09-30	30	64.41	2,940	234
Aimia Inc.	Deferred Share Units	Basian, Karen	4	2021-10-01	56	4.4	80,629	9,262
Aimia Inc.	Deferred Share Units	Hanington, Sandra Lynn	4	2021-10-01	56	4.4	37,513	3,978
Aimia Inc.	Deferred Share Units	Mattson, Jon	4	2021-10-01	56	4.4	19,155	8,579
Aimia Inc.	Deferred Share Units	Rosenkrantz, David Aubrey	4	2021-10-01	56	4.4	77,551	11,733
Aimia Inc.	Deferred Share Units	Teramo, Jordan Gregg	4	2021-10-01	56	4.4	55,384	6,279
Air Canada	Class B Voting Shares	Chande, Ameer	4	2021-10-01	30	23.928	14,506	1,941
Air Canada	Deferred Share Units	Clark, Christie James Beckett	4	2021-10-01	56		29,889	1,166
Air Canada	Deferred Share Units	Doer, Gary Albert	4	2021-10-01	56		16,496	1,199
Air Canada	Deferred Share Units	Fyfe, Robert Ian	4	2021-10-01	56		30,087	2,282
Air Canada	Deferred Share Units	Green, Michael	4	2021-10-01	56		39,778	1,090
Air Canada	Deferred Share Units	Huot, Jean Marc	4	2021-10-01	56		222,770	1,090
Air Canada	Deferred Share Units	PAQUIN, MADELEINE	4	2021-10-01	56		49,910	1,308
Air Canada	Deferred Share Units	Sorensen, Vagn	4	2021-10-01	56		159,714	2,156
Air Canada	Deferred Share Units	Taylor, Kathleen	4	2021-10-01	56		44,263	1,750
Air Canada	Deferred Share Units	Verschuren, Annette Marie	4	2021-10-01	56		57,918	1,166
Air Canada	Deferred Share Units	Wilson, Michael M.	4	2021-10-01	56		86,871	2,333
Alamos Gold Inc.	Rights Rights Performance Share Units	Barwell, Christine	5	2021-09-30	30			265
Alamos Gold Inc.	Rights Rights Performance Share Units	Barwell, Christine	5	2021-09-30	30			265
Alamos Gold Inc.	Rights Rights Performance Share Units	Barwell, Christine	5	2021-09-30	30		76,002	264
Alamos Gold Inc.	Rights Rights Performance Share Units	Bostwick, Christopher John	5	2021-09-30	30		76,002	264
Alamos Gold Inc.	Rights Rights Performance Share Units	Chavez - Martinez, Mario Luis	5	2021-09-30	30		75,921	264
Alamos Gold Inc.	Rights Deferred Share Units	Ellingham, Elaine	4	2021-09-30	30		66,548	232
Alamos Gold Inc.	Rights Rights Performance Share Units	Engelstad, Nils Frederik Jonas	8, 5	2021-09-30	30		76,003	264

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Alamos Gold Inc.	Rights Rights Performance Share Units	Fisher, Gregory S.	5	2021-09-30	30		76,002	264
Alamos Gold Inc.	Rights Rights Performance Share Units	Fitzgerald, John Michael	5	2021-09-30	30		44,108	153
Alamos Gold Inc.	Rights Deferred Share Units	Fleck, David Alexander	4	2021-09-30	30		133,166	464
Alamos Gold Inc.	Rights Deferred Share Units	Gower, David Patrick	4	2021-09-30	30		126,367	440
Alamos Gold Inc.	Rights Deferred Share Units	Kennedy, Claire Marie Catherine	4	2021-09-30	30		121,386	423
Alamos Gold Inc.	Rights Rights Performance Share Units	MacPhail, Peter	5	2021-09-30	30		152,007	528
Alamos Gold Inc.	Rights Rights Performance Share Units	McCluskey, John	4, 5	2021-09-30	30		360,580	1,253
Alamos Gold Inc.	Rights Deferred Share Units	Mercier, Monique	4	2021-09-30	30		46,336	161
Alamos Gold Inc.	Rights Deferred Share Units	Murphy, Paul	4	2021-09-30	30		210,658	733
Alamos Gold Inc.	Rights Rights Performance Share Units	Parsons, Scott Kyle	5	2021-09-30	30		76,003	264
Alamos Gold Inc.	Rights Restricted Share Units	Parsons, Scott Russell Gordon	5	2021-09-30	30		33,305	116
Alamos Gold Inc.	Rights Rights Performance Share Units	Parsons, Scott Russell Gordon	5	2021-09-30	30		16,291	57
Alamos Gold Inc.	Rights Restricted Share Units	PAULSE, ADRIAN	5	2021-09-30	30		21,177	74
Alamos Gold Inc.	Rights Rights Performance Share Units	PAULSE, ADRIAN	5	2021-09-30	30		28,637	100
Alamos Gold Inc.	Rights Rights Performance Share Units	Porter, James	5	2021-09-30	30		152,002	528
Alamos Gold Inc.	Rights Deferred Share Units	Prichard, John Robert Stobo	4	2021-09-30	30		73,401	245
Alamos Gold Inc.	Rights Deferred Share Units	Stowe, Kenneth George	4	2021-09-30	30		126,367	440
Alamos Gold Inc.	Rights Rights Performance Share Units	Thompson, Rebecca	5	2021-09-30	30		38,171	133
Alamos Gold Inc.	Rights Rights Performance Share Units	Webster, Colin	5	2021-09-30	30		76,182	264
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	5	2021-09-24	10	0.095	563,667	-43,000
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	5	2021-09-28	10	0.095	558,667	-5,000
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	5	2021-10-01	10	0.09	533,667	-25,000
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	5	2021-10-04	10	0.09	498,667	-35,000
Algernon Pharmaceuticals Inc.	Common Shares	Sadhra, Michael	5	2021-10-07	10	0.085	460,000	-38,667
Algonquin Power & Utilities Corp.	Deferred Share Units	Ball, Christopher James	4	2021-09-30	56	19.105	83,369	1,667
Algonquin Power & Utilities Corp.	Deferred Share Units	Barnes, Melissa Stapleton	4	2021-09-30	56	19.105	42,778	1,668
Algonquin Power & Utilities Corp.	Deferred Share Units	Huskilson, Christopher	4	2021-09-30	56	19.105	12,227	1,668

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Algonquin Power & Utilities Corp.	Deferred Share Units	Laney, Randy David	4	2021-09-30	56	19.105	34,858	1,667
Algonquin Power & Utilities Corp.	Deferred Share Units	Moore, Kenneth	4	2021-09-30	56	19.105	224,777	2,293
Algonquin Power & Utilities Corp.	Deferred Share Units	Saidi, Masheed Hegi	4	2021-09-30	56	19.105	53,638	1,834
Algonquin Power & Utilities Corp.	Deferred Share Units	Samil, Dilek	4	2021-09-30	56	19.105	54,658	1,876
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Common Shares	Brown, Mark Thomas	4	2021-10-05	10	0.07	10,561,993	50,000
Alimentation Couche-Tard Inc.	Subordinate Voting Shares CatOgorie B	ALIMENTATION COUCHE-TARD INC.	1	2021-10-08	38	47.23	6,351,895	6,351,895
Alimentation Couche-Tard Inc.	Subordinate Voting Shares CatOgorie B	ALIMENTATION COUCHE-TARD INC.	1	2021-10-08	38		0	-6,351,895
Alimentation Couche-Tard Inc.	Subordinate Voting Shares CatOgorie B	Bouchard, Alain	4, 6, 7, 5	2021-10-08	10	47.23	5,512,974	-6,351,895
Alimentation Couche-Tard Inc.	Performance Share Units	Bouchard, Karinne	4	2021-10-01	38		0	-992
Alimentation Couche-Tard Inc.	Restricted Share Units	Bouchard, Karinne	4	2021-10-01	38		0	-536
Alithya Group inc.	Rights Deferred Share Units	Ades-Landy, Dana	4	2021-09-30	56		46,999	4,579
Alithya Group inc.	Rights Deferred Share Units	Comeau, Robert	4	2021-09-30	56		61,945	6,465
Alithya Group inc.	Rights Deferred Share Units	Martel, Lucie	4	2021-09-30	56		51,993	6,465
Alithya Group inc.	Rights Deferred Share Units	Renacci, James B.	4	2021-09-30	56		40,582	3,591
Alithya Group inc.	Rights Deferred Share Units	Rivard, Ghyslain	3, 4	2021-09-30	56		33,769	3,591
Alithya Group inc.	Rights Deferred Share Units	Thomas, C. Lee	4	2021-09-30	56		49,702	4,579
Alithya Group inc.	Rights Deferred Share Units	Turcotte, Pierre	3, 4	2021-09-30	56		71,490	8,297
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	mcfadden, michael	5	2021-04-12	00			
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	mcfadden, michael	5	2021-04-12	00			
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	Common Shares	mcfadden, michael	5	2021-10-01	15	1.5	220,166	220,166
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	warrant	mcfadden, michael	5	2021-04-12	00			
Alpha Cognition Inc. (formerly Crystal Bridge Enterprises Inc.)	warrant	mcfadden, michael	5	2021-10-01	15	1.75	220,166	220,166
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-01	10	16.21		3,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-01	38	16.21	3,000	3,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-02	10	16.12		5,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-02	38	16.12	8,000	5,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-07	10	16.35		5,100
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-07	38	16.35	13,100	5,100
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-08	10	16.06		6,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-08	38	16.06	19,100	6,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-09	10	16.03		4,600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-09	38	16.03	23,700	4,600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-13	38	16.49	27,100	3,400
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-14	38	16.23	30,100	3,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-15	38	16.31	34,700	4,600
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-16	38	16.06	39,700	5,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-17	38	15.87	45,900	6,200
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-20	38	15.26	52,900	7,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-21	38	15.23	57,900	5,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-22	38	15.34	58,900	1,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-22	38	15.74	64,900	6,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-23	38	15.65	66,900	2,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-24	38	15.6	70,900	4,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-27	38	15.4	73,900	3,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-28	38	15.65	76,900	3,000
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-29	38	15.44	81,000	4,100
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-09-30	38	15.47	84,900	3,900
Altius Minerals Corporation	Common Shares	Altius Minerals Corporation	1	2021-10-01	38		0	-84,900
Altius Renewable Royalties Corp.	Rights DSUs	Bronicheski, David John	4	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights DSUs	Bronicheski, David John	4	2021-10-08	56		2,062	2,062
Altius Renewable Royalties Corp.	Rights RSUs	Bronicheski, David John	4	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights RSUs	Bronicheski, David John	4	2021-10-08	56	9.7	2,062	2,062
Altius Renewable Royalties Corp.	Rights DSUs	Clarke-Whistler, Karen Elaine	4	2021-08-05	00			
Altius Renewable Royalties Corp.	Rights DSUs	Clarke-Whistler, Karen Elaine	4	2021-10-08	56		842	842
Altius Renewable Royalties Corp.	Rights RSUs	Clarke-Whistler, Karen Elaine	4	2021-08-05	00			
Altius Renewable Royalties Corp.	Rights RSUs	Clarke-Whistler, Karen Elaine	4	2021-10-08	56	9.7	842	842
Altius Renewable Royalties Corp.	Rights DSUs	Gaumond, Andr�	4, 6	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights DSUs	Gaumond, Andr�	4, 6	2021-10-08	56		2,062	2,062
Altius Renewable Royalties Corp.	Rights RSUs	Gaumond, Andr�	4, 6	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights RSUs	Gaumond, Andr�	4, 6	2021-10-08	56	9.7	2,062	2,062

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Altius Renewable Royalties Corp.	Rights DSUs	Ludlow, Earl	4	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights DSUs	Ludlow, Earl	4	2021-10-08	56		2,062	2,062
Altius Renewable Royalties Corp.	Rights RSUs	Ludlow, Earl	4	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights RSUs	Ludlow, Earl	4	2021-10-08	56	9.7	2,062	2,062
Altius Renewable Royalties Corp.	Rights DSUs	Stylianides, Anna	4, 6	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights DSUs	Stylianides, Anna	4, 6	2021-10-08	56		2,062	2,062
Altius Renewable Royalties Corp.	Rights RSUs	Stylianides, Anna	4, 6	2021-02-25	00			
Altius Renewable Royalties Corp.	Rights RSUs	Stylianides, Anna	4, 6	2021-10-08	56	9.7	2,062	2,062
Altura Energy Inc.	Common Shares	Maitland, Robert A.	4	2021-10-05	51	0.27	840,000	90,000
Altura Energy Inc.	Options	Maitland, Robert A.	4	2021-10-05	51	0.27	345,000	-90,000
Altus Group Limited	Options	Ross, David	5	2021-09-15	00			
Altus Group Limited	Options	Ross, David	5	2021-09-15	50	65.67	24,427	24,427
Alvopetro Energy Ltd.	Common Shares	Howard, Alison Leanne	5	2021-10-07	10	4.6225	217,245	-21,000
Alvopetro Energy Ltd.	Common Shares	Howard, Alison Leanne	5	2021-10-07	51	0.96	283,299	66,054
Alvopetro Energy Ltd.	Options	Howard, Alison Leanne	5	2021-10-07	51	0.96	175,000	-83,333
Amarillo Gold Corporation	Common Shares	Brown, William Richard	5	2021-07-12	10	0.13		-2,000
Amarillo Gold Corporation	Common Shares	Brown, William Richard	5	2021-07-12	10	0.13	5,380,000	-2,000
Amarillo Gold Corporation	Common Shares	Brown, William Richard	5	2021-10-08	97	0.12	5,382,000	2,000
Amarillo Gold Corporation	Common Shares	Raykov, Rostislav Christov	4	2021-10-07	10	0.24	3,808,547	80,000
Amarillo Gold Corporation	Common Shares	Uloth, Rowland Wallace	4	2021-10-06	10	0.22	3,724,500	20,000
Amarillo Gold Corporation	Common Shares	Uloth, Rowland Wallace	4	2021-10-06	10	0.225	3,771,000	46,500
Amarillo Gold Corporation	Common Shares	Uloth, Rowland Wallace	4	2021-10-06	10	0.23	3,813,000	42,000
Amarillo Gold Corporation	Common Shares	Uloth, Rowland Wallace	4	2021-10-06	10	0.235	3,847,500	34,500
Amarillo Gold Corporation	Common Shares	Uloth, Rowland Wallace	4	2021-10-06	10	0.24	3,880,500	33,000
Amarillo Gold Corporation	Common Shares	Uloth, Rowland Wallace	4	2021-10-06	10	0.245	3,911,500	31,000
Americas Gold and Silver Corporation	Rights Deferred Share Units	Davidson, Alexander John	4	2021-09-30	56		179,563	26,940
Americas Gold and Silver Corporation	Rights Deferred Share Units	Edwards, Alan R.	4	2021-09-30	56		113,767	18,473
Americas Gold and Silver Corporation	Rights Deferred Share Units	Kipp, Bradley Robert	4	2021-09-30	56		143,297	20,013
Americas Gold and Silver Corporation	Rights Deferred Share Units	Pridham, Gordon E.	4	2021-09-30	56		111,806	19,243
Americas Gold and Silver Corporation	Rights Deferred Share Units	RIVERA RABA, MANUEL ALBERTO	4	2021-09-30	56		87,461	17,704
Americas Gold and Silver Corporation	Rights Deferred Share Units	Waisberg, Lorie	4	2021-09-30	56		121,190	20,782
Ameriwest Lithium Inc. (formerly, Oakley Ventures Inc.)	Common Shares	Eskandari, Saman	4	2021-09-28	10	0.79	333,000	-3,000
AmmPower Corp.	Common Shares	Bharti, Rene	4, 5	2021-08-11	11		4,800,000	-200,000
AmmPower Corp.	Common Shares	Bharti, Rene	4, 5	2021-09-23	11		4,550,000	-250,000
AmmPower Corp.	Common Shares	Brown, Arthur	4	2021-08-26	57		25,000	25,000
AmmPower Corp.	Common Shares	Brown, Arthur	4	2021-08-30	10	0.64	15,000	-10,000
AmmPower Corp.	Common Shares	Brown, Arthur	4	2021-09-09	10	0.81	10,000	-5,000
AmmPower Corp.	Common Shares	Brown, Arthur	4	2021-09-10	10	0.7	0	-10,000
AmmPower Corp.	Restricted Stock Units	Brown, Arthur	4	2021-08-26	56			25,000
AmmPower Corp.	Restricted Stock Units	Brown, Arthur	4	2021-08-26	56			25,000

**Insider Reporting**

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AmmPower Corp.	Restricted Stock Units	Brown, Arthur	4	2021-08-30	57		65,000	-10,000
AmmPower Corp.	Restricted Stock Units	Brown, Arthur	4	2021-09-09	57		60,000	-5,000
AmmPower Corp.	Restricted Stock Units	Brown, Arthur	4	2021-09-10	57		50,000	-10,000
AmmPower Corp.	Restricted Stock Units	Krause, Robert	4	2020-09-24	00		50,000	
AmmPower Corp.	Restricted Stock Units	Krause, Robert	4	2021-10-05	10	0.4592	25,000	-25,000
Anacortes Mining Corp.	Common Shares	Currie, James A.	4, 5	2021-10-06	37		200,000	-1,000,000
Anacortes Mining Corp.	Common Shares	Currie, James A.	4, 5	2021-10-06	16	0.4	2,300,000	500,000
Anacortes Mining Corp.	Common Shares	Currie, James A.	4, 5	2021-10-06	37		383,333	-1,916,667
Anacortes Mining Corp.	Warrants	Currie, James A.	4, 5	2020-06-09	00			
Anacortes Mining Corp.	Warrants	Currie, James A.	4, 5	2021-10-06	16	0.55	250,000	250,000
Anacortes Mining Corp.	Warrants	Currie, James A.	4, 5	2021-10-06	37	3.3	41,666	-208,334
Anacortes Mining Corp.	Common Shares	Currie, Neil	3, 4, 5	2021-10-06	16	0.4	2,080,000	100,000
Anacortes Mining Corp.	Common Shares	Currie, Neil	3, 4, 5	2021-10-06	37		346,666	-1,733,334
Anacortes Mining Corp.	Options	Currie, Neil	3, 4, 5	2021-10-06	37	0.6	16,666	-83,334
Anacortes Mining Corp.	Warrants	Currie, Neil	3, 4, 5	2019-03-22	00			
Anacortes Mining Corp.	Warrants	Currie, Neil	3, 4, 5	2021-10-06	16	0.55	50,000	50,000
Anacortes Mining Corp.	Warrants	Currie, Neil	3, 4, 5	2021-10-06	37	3.3	8,333	-41,667
Anacortes Mining Corp.	Common Shares	Curry, Benjamin	4	2021-10-06	37		16,666	-83,334
Anacortes Mining Corp.	Options	Curry, Benjamin	4	2021-10-06	40	0.6	16,666	-83,334
Andean Precious Metals Corp.	Restricted Share Units	Griffiths, Simon Owain	4, 5	2021-01-26	00			
Andean Precious Metals Corp.	Restricted Share Units	Griffiths, Simon Owain	4, 5	2021-09-30	56		5,362,500	5,362,500
Andlauer Healthcare Group Inc.	Deferred Share Units	Ambrose, Ronalee Hope	4	2021-09-30	56		5,215	531
Andlauer Healthcare Group Inc.	Deferred Share Units	Clark, Andrew	4	2021-09-30	56		5,292	417
Andlauer Healthcare Group Inc.	Deferred Share Units	Jelley, Peter	4	2021-09-30	56		5,549	506
Andlauer Healthcare Group Inc.	Deferred Share Units	Joyce, Cameron	4	2021-09-30	56		4,162	379
Andlauer Healthcare Group Inc.	Deferred Share Units	Schlett, Joseph	4	2021-09-30	56		4,162	379
Andlauer Healthcare Group Inc.	Deferred Share Units	Sutherland, Evelyn Louise	4	2021-09-30	56		5,031	468
Andlauer Healthcare Group Inc.	Deferred Share Units	Wellner, Thomas Gordon	4	2021-09-30	56		4,994	455
ApartmentLove Inc.	Common Shares	DAVIDSON, GEORGE	4, 5	2021-10-08	10	0.3	557,500	2,500
ApartmentLove Inc.	Common Shares	DAVIDSON, GEORGE	4, 5	2021-10-06	10	0.31	19,500	19,000
ApartmentLove Inc.	Common Shares	DAVIDSON, GEORGE	4, 5	2021-10-06	10	0.345	24,500	5,000
ApartmentLove Inc.	Common Shares	DAVIDSON, GEORGE	4, 5	2021-10-07	10	0.35	26,500	2,000
Aquila Resources Inc.	Rights Deferred Share Units	Dunn, Andrew William	4	2021-10-06	56		1,067,782	125,000
Aquila Resources Inc.	Rights Deferred Share Units	Johnson, Paul-Marie	4	2021-10-06	56		281,250	78,125
Aquila Resources Inc.	Rights Restricted Share Units	Le Bel, Guy	5	2021-01-26	00			
Aquila Resources Inc.	Rights Restricted Share Units	Le Bel, Guy	5	2021-10-05	56			750,000
Aquila Resources Inc.	Rights Restricted Share Units	Le Bel, Guy	5	2021-10-06	56	0.08	750,000	750,000
Aquila Resources Inc.	Rights Deferred Share Units	Munden, Edward John	4	2021-10-06	56		1,203,219	156,250
Aquila Resources Inc.	Rights Deferred Share Units	Pritchard, Ian	4	2021-10-06	46		1,067,782	125,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-01	00			
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-06	38	9.2377	525,000	525,000



**Insider Reporting**

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ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-07	38	9.2829	1,025,000	500,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-09	38	9.2619	1,625,000	600,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-10	38	9.3111	2,125,000	500,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-10	38		0	-2,125,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-13	38	9.3431	500,000	500,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-14	38	9.511	1,320,000	820,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-15	38	9.7269	2,140,000	820,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-16	38	9.7396	2,960,000	820,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-17	38	10.025	3,780,000	820,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-17	38		0	-3,780,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-20	38	10.231	820,000	820,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-21	38	10.087	1,345,000	525,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-22	38	9.8672	2,025,100	680,100
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-23	38	10.024	2,830,600	805,500
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-24	38	10.339	3,650,600	820,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-24	38		0	-3,650,600
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-27	38	10.795	819,600	819,600
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-28	38	11.083	1,219,600	400,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-29	38	11.675	1,619,600	400,000
ARC Resources Ltd.	Common Shares	ARC Resources Ltd.	1	2021-09-29	38		0	-1,619,600
ARHT Media Inc.	Warrants	Blum, Richard Edward	5	2021-10-01	11		1,156,964	-833,333
ARHT Media Inc.	Warrants	Casgrain, Tim	3	2021-10-01	11		1,570,154	-4,637,556
ARHT Media Inc.	Warrants	OREILLY, LARRY	4, 5	2021-10-01	11		635,000	-1,281,667
ARHT Media Inc.	Warrants	Wetherald, David	4	2021-10-01	11	0.13	1,568,177	-322,222
Artemis Gold Inc.	Options	Alderson, Candice	5	2021-10-08	50	5.39	650,000	350,000
Artemis Gold Inc.	Options	Armstrong, William Paul	4	2021-10-08	50	5.39	330,000	80,000
Artemis Gold Inc.	Options	Batalha, Christopher Ross	5	2021-10-08	50	5.39	1,225,000	350,000
Artemis Gold Inc.	Options	Beedie, Ryan K	4	2021-10-08	50		400,000	150,000
Artemis Gold Inc.	Options	Black, W. David	4	2021-10-08	50	5.39	330,000	80,000
Artemis Gold Inc.	Options	Dean, Steven	4, 5	2021-10-08	50	5.39	2,400,000	650,000
Artemis Gold Inc.	Options	Ethans, Lisa Diane	4	2021-08-10	00			
Artemis Gold Inc.	Options	Ethans, Lisa Diane	4	2021-10-08	50	5.39	80,000	80,000
Artemis Gold Inc.	Options	Langford, Jeremy	5	2021-10-08	50	5.39	700,000	350,000
Artemis Gold Inc.	Options	Rees, Helena Elise	4	2021-10-08	50	5.39	90,000	15,000
Artemis Gold Inc.	Options	Shandro, Janis Alexandra	4	2021-08-10	00			
Artemis Gold Inc.	Options	Shandro, Janis Alexandra	4	2021-10-08	50	5.39	80,000	80,000
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2021-10-01	38	24.92	200	200
Artis Real Estate Investment Trust	Preferred Shares Series A	Artis Real Estate Investment Trust	1	2021-10-08	38	24.522	1,100	900
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2021-10-01	38	23.701	1,700	900
Artis Real Estate Investment Trust	Preferred Shares Series E	Artis Real Estate Investment Trust	1	2021-10-08	38	23.764	3,700	2,000
Artis Real Estate Investment Trust	Units	Artis Real Estate Investment Trust	1	2021-09-29	38		-78,346	-1,566,920
Artis Real Estate Investment Trust	Units	Artis Real Estate Investment Trust	1	2021-10-01	38	11.502	303,078	381,424
Artis Real Estate Investment Trust	Deferred Units	Irwin, Heather-Anne	4	2021-10-01	56	11.37	6,923	1,737
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2021-10-01	56	11.37	30,027	3,562
Artis Real Estate Investment Trust	Deferred Units	Shaikh, Mazhar H. (Mike)	4	2021-10-01	56	11.37	10,154	2,793

**Insider Reporting**

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Artis Real Estate Investment Trust	Deferred Units	Tammer, Aida Evelyn	4	2021-10-01	56	11.37	4,702	1,149
Artis Real Estate Investment Trust	Deferred Units	Wigmore, Elisabeth Shirley	4	2021-10-01	56	11.37	10,228	2,507
Artis Real Estate Investment Trust	Deferred Units	Zucker, Lauren	4	2021-10-01	56	11.37	47,581	2,462
Ascot Resources Ltd.	Rights DSU	St-Germain, Andree	4	2021-09-30	56		76,328	4,835
Ascot Resources Ltd.	Rights DSU	Stypula, John James	4	2021-09-30	56		121,881	8,962
Asian Television Network International Limited	Common Shares	CHANDRASEKAR, SUBRAHMAN	4, 5	2021-09-29	10	0.205	17,566,018	500
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Cohos, Peter Phillip	4	2021-09-30	30		4,836	74
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Cohos, Peter Phillip	4	2021-09-30	56		5,422	586
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	DeGasperis, Robert Hans	4	2021-09-30	30		4,907	76
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	DeGasperis, Robert Hans	4	2021-09-30	56		5,501	594
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Grant, Andrew	4	2021-09-30	30		3,785	58
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Grant, Andrew	4	2021-09-30	56		4,244	459
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Kagan, Maurice	4	2021-09-30	30		5,257	81
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Kagan, Maurice	4	2021-09-30	56		5,894	637
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Lockhart, Nancy	4	2021-09-30	30		5,537	85
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	Lockhart, Nancy	4	2021-09-30	56		6,208	671
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	SILVER, MARK	4	2021-09-30	30		5,783	88
Atrium Mortgage Investment Corporation	Deferred Share Unit Plan 2020	SILVER, MARK	4	2021-09-30	56		6,484	701
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.35	167,200	7,200
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.34	189,700	22,500
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.33	189,800	100
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.32	194,800	5,000
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.31	194,900	100
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.3	207,700	12,800
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.28	207,800	100
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-09-30	10	1.25	210,000	2,200
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-01	10	1.47	213,900	3,900
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-01	10	1.46	215,900	2,000
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-01	10	1.45	217,400	1,500
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-01	10	1.44	218,400	1,000
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-01	10	1.4	245,300	26,900
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-01	10	1.39	250,500	5,200
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-01	10	1.37	260,000	9,500
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-05	10	1.4	266,700	6,700
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-05	10	1.38	266,800	100
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-05	10	1.37	276,300	9,500
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-05	10	1.29	308,700	32,400
Augusta Gold Corp.	Common Shares	Earle, Daniel	4	2021-10-05	10	1.28	310,000	1,300
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-09-29	10	0.73	10,076,182	13,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-09-29	10	0.71	10,085,682	9,500
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-09-30	10	0.7	10,110,682	25,000

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Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-10-01	10	0.7	10,120,682	10,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-10-01	10	0.69	10,150,682	30,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-10-04	10	0.69	10,164,682	14,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-10-05	10	0.68	10,179,682	15,000
Aurion Resources Ltd.	Common Shares	Lotan Holdings Inc.	4	2021-10-05	10	0.67	10,183,182	3,500
Automotive Properties Real Estate Investment Trust	Deferred Units	Forbes, Louis Marie	4	2021-09-30	56		33,508	1,127
Automotive Properties Real Estate Investment Trust	Deferred Units	Kay, M Patricia	4	2021-09-30	56		21,493	1,337
Automotive Properties Real Estate Investment Trust	Deferred Units	Lazier, Francis Stuart	4	2021-09-30	56		40,486	1,052
Automotive Properties Real Estate Investment Trust	Deferred Units	Morrison, John Rennie	4	2021-09-30	56		45,148	1,224
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2021-10-04	57	0.043		112,857
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2021-10-04	57	0.043		112,857
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2021-10-04	57	0.43	8,563,279	112,857
Axis Auto Finance Inc.	Rights Restricted Share Units	Hudson, Todd Charles	5	2021-10-04	57	0.43		112,857
Axis Auto Finance Inc.	Rights Restricted Share Units	Hudson, Todd Charles	5	2021-10-04	57	0.43	172,857	-112,857
Axis Auto Finance Inc.	Common Shares	Koster, Steven	4	2021-06-14	00			
Axis Auto Finance Inc.	Common Shares	Koster, Steven	4	2021-06-14	00		2,073,479	
Axis Auto Finance Inc.	Common Shares	Koster, Steven	4	2021-07-30	57	0.47		60,642
Axis Auto Finance Inc.	Common Shares	Koster, Steven	4	2021-07-30	57	0.47		60,642
Axis Auto Finance Inc.	Common Shares	Koster, Steven	4	2021-07-30	57	0.47		60,642
AYA GOLD & SILVER INC.	Rights DSU	Clarici, Elena	4	2018-06-20	00			
AYA GOLD & SILVER INC.	Rights DSU	Clarici, Elena	4	2021-10-01	56	7.678	3,624	3,624
AYA GOLD & SILVER INC.	Rights DSU	Grou, Yves	4	2021-10-01	56	7.678	14,516	6,674
AYA GOLD & SILVER INC.	Rights DSU	Hambrecht, Jurgen	4	2021-10-01	56	7.678	12,990	5,990
AYA GOLD & SILVER INC.	Rights DSU	Nolet de Brauwere van Steeland, Marc	4	2021-06-10	00			
AYA GOLD & SILVER INC.	Rights DSU	Nolet de Brauwere van Steeland, Marc	4	2021-10-01	56	7.678	2,076	2,076
AYA GOLD & SILVER INC.	Rights DSU	Sofronis, Nikolaos	4	2021-10-01	56	7.678	12,073	5,600
AYA GOLD & SILVER INC.	Rights DSU	Taub, Robert	3, 4	2021-10-01	56	7.678	14,994	6,837
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Subordinate, Restricted and Limited Voting Shares	Ayr Wellness Inc.	1	2021-09-02	38	30.474	78,600	7,100
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Subordinate, Restricted and Limited Voting Shares	Ayr Wellness Inc.	1	2021-09-03	38	30.26	79,600	1,000
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Subordinate, Restricted and Limited Voting Shares	Ayr Wellness Inc.	1	2021-09-08	38	29.42	84,600	5,000
Ayr Wellness Inc. (formerly, Ayr Strategies Inc.)	Subordinate, Restricted and Limited Voting Shares	Ayr Wellness Inc.	1	2021-10-01	38		71,500	-13,100
Azarga Uranium Corp.	Common Shares	Catchpole, Glenn	4, 5	2021-10-04	46	0.625	2,000,097	14,865
Azarga Uranium Corp.	Common Shares	Havlin, Joseph	4	2021-10-04	46	0.625	2,085,458	10,617
Azarga Uranium Corp.	Common Shares	Havlin, Joseph	4	2021-10-04	46	0.625	2,091,829	6,371
Azarga Uranium Corp.	Common Shares	Hilditch, Todd	4	2021-10-04	46	0.625	2,723,776	8,495

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Azarga Uranium Corp.	Common Shares	Hilditch, Todd	4	2021-10-04	46	0.625	2,728,872	5,096
Azarga Uranium Corp.	Common Shares	Jamison, Delos Cy	4	2021-10-04	46	0.625	646,202	8,495
Azarga Uranium Corp.	Common Shares	MacKay, Sandra Rose	4	2021-10-04	46	0.625	901,649	8,495
Azarga Uranium Corp.	Common Shares	O'Kane, Matthew James Gerard	6	2021-10-04	46	0.625	1,362,850	10,617
Azarga Uranium Corp.	Common Shares	Steele, Blake Albert	5	2021-10-04	46	0.625	8,653,165	42,471
B2Gold Corp.	Rights Deferred Share Units	Johnson, George	4	2021-10-01	56		255,633	5,196
B2Gold Corp.	Rights Cash Settled	Kelly, Liane Catherine	4	2021-10-01	56		109,227	4,763
BacTech Environmental Corporation	Common Shares	Orr, Murray Ross	7	2021-10-04	47	0.1	6,274,827	-350,000
Ballard Power Systems Inc.	Units Deferred Share Units	Hayhurst, Douglas Palmer	4	2021-09-30	56	17.78	213,226	1,223
Ballard Power Systems Inc.	Units Deferred Share Units	Le, Duy-Loan	4	2021-09-30	56	17.78	40,475	1,827
Ballard Power Systems Inc.	Units Deferred Share Units	Neese, Marty Tucker	4	2021-09-30	56	17.78	71,595	1,121
Ballard Power Systems Inc.	Units Deferred Share Units	Roche, James Norman	4	2021-09-30	56	17.78	85,161	1,402
Ballard Power Systems Inc.	Units Deferred Share Units	Woodruff, Janet Patricia	4	2021-09-30	56	17.78	36,166	1,223
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Cisneros, Gustavo Alfredo	4	2021-09-15	30	19.5	172,422	793
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Cisneros, Gustavo Alfredo	4	2021-09-30	56	17.94	176,254	3,832
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Coleman, Christopher Lewis	4	2021-09-15	30	19.5	35,833	165
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Coleman, Christopher Lewis	4	2021-09-30	56	17.94	39,665	3,832
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Evans, John Michael	4	2021-09-15	30	19.5	111,081	511
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Evans, John Michael	4	2021-09-30	56	17.94	114,913	3,832
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Greenspun, Brian Lee	4	2021-09-15	30	19.5	87,994	404
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Greenspun, Brian Lee	4	2021-09-30	56	17.94	91,826	3,832
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Harvey, Joseph Brett	4	2021-09-15	30	19.5	143,292	659
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Harvey, Joseph Brett	4	2021-09-30	56	17.94	147,124	3,832
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Kabagambe, Anne Namara	4	2021-09-15	30	19.5	5,560	25
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Kabagambe, Anne Namara	4	2021-09-30	56	17.94	7,999	2,439
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Quinn, Andrew James	4	2021-09-15	30	19.5	35,833	165
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Quinn, Andrew James	4	2021-09-30	56	17.94	39,665	3,832
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Silva Rojas, Maria Loreto	4	2021-09-15	30	19.5	15,797	72
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Silva Rojas, Maria Loreto	4	2021-09-30	56	17.94	18,236	2,439
Barrick Gold Corporation	Rights Deferred Share Units (cash settled)	Thornton, John Lawson	4, 5	2021-09-15	30	19.5	1,201	5
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	DE SCHUTTER, Richard Urbain	4	2021-09-30	56	27.85	37,486	1,234
Bausch Health Companies Inc. (formerly, Valeant	Rights Restricted Share Units (RSUs)	Icahn, Brett	4	2021-09-30	56	27.85	9,914	1,099

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Pharmaceuticals International, Inc.)								
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Miller, Steven Daniel	4	2021-09-30	56	27.85	9,936	1,099
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Paulson, John	4	2021-09-30	56	27.85	84,180	1,099
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Robertson, Russel Clark	4	2021-09-30	56	27.85	125,205	1,368
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Spurr, Robert Allen	5	2021-10-01	57	28.6	19,790	805
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Spurr, Robert Allen	5	2021-10-01	97	28.6	19,507	-283
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Spurr, Robert Allen	5	2021-10-01	57		47,294	-805
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Wechsler, Amy	4	2021-09-30	56	27.85	98,805	246
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-02-15	10	0.1	2,747,978	-4,469,224
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-02-22	16	0.1		1,750,000
Bayhorse Silver Inc.	Common Shares	O'Neill, Graeme	5	2019-02-22	16	0.1	4,315,478	1,567,500
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2015-04-27	16		3,220,000	500,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2018-07-19	16		5,758,931	183,663
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2018-07-23	16			3,170,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2019-02-22	16			1,750,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2019-02-22	16		9,126,431	1,567,500
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2019-03-13	16			910,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2019-03-13	16		9,436,431	310,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2019-05-29	16			800,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2019-05-29	16		9,705,293	268,862
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2020-04-07	16			2,500,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2020-04-07	16		15,161,959	1,500,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2020-08-04	11			610,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2020-08-04	16			610,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2020-08-04	16		18,859,459	460,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2021-04-26	54	0.125		-750,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2021-04-26	54	0.125	18,133,931	-750,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2021-09-27	55		18,856,431	-100,000
Bayhorse Silver Inc.	Warrants	O'Neill, Graeme	5	2021-10-07	55		18,742,431	-114,000
Baylin Technologies Inc.	Deferred Share Units	Davis, Janice Leslie	4	2021-10-01	56	0.87	57,114	2,866
Baylin Technologies Inc.	Deferred Share Units	Reiter, Barry	4	2021-10-01	56	0.87	203,659	7,643
Baylin Technologies Inc.	Deferred Share Units	Saska, David	4	2021-10-01	56	0.87	72,447	5,732
Baylin Technologies Inc.	Deferred Share Units	SIMMONDS, DONALD E.	4	2021-10-01	56	0.87	287,717	5,732
Baylin Technologies Inc.	Deferred Share Units	Wolkin, Harold Morton	4	2021-10-01	56	0.87	205,604	7,643
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-01	10	5.77	911,644	100
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-01	10	5.78	911,744	100

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BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-01	10	5.74	912,044	300
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-01	10	5.7	912,244	200
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-01	10	5.71	912,444	200
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-04	10	5.77	912,844	400
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-05	10	5.71	913,144	300
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-05	10	5.66	913,544	400
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-05	10	5.65	913,744	200
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-05	10	5.69	913,944	200
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-06	10	5.64	914,144	200
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-06	10	5.63	914,344	200
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-06	10	5.68	914,444	100
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-06	10	5.69	914,544	100
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-06	10	5.66	914,644	100
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-07	10	5.81	914,844	200
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-07	10	5.835	914,944	100
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-07	10	5.84	915,044	100
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-07	10	5.845	915,144	100
BBTV Holdings Inc.	Subordinate Voting Shares	Shahbazi, Hamed	4	2021-10-07	10	5.85	915,244	100
Belo Sun Mining Corp.	Common Shares	Eaton, Mark Price	4, 5	2021-10-04	10	0.41	11,244,289	130,000
Benz Capital Corp.	Options	Birmingham, Jason	4	2021-07-05	00			
Benz Capital Corp.	Options	Birmingham, Jason	4	2021-10-06	50	0.1	75,000	75,000
Benz Capital Corp.	Options	Bub, Gordon	4	2021-07-05	00			
Benz Capital Corp.	Options	Bub, Gordon	4	2021-10-06	50	0.1	25,000	25,000
Benz Capital Corp.	Common Shares	Escribano, Carlos	4	2021-10-04	00		500,000	
Benz Capital Corp.	Options	Pankiw, Christine	5	2021-07-05	00			
Benz Capital Corp.	Options	Pankiw, Christine	5	2021-10-06	50	0.1	50,000	50,000
Besra Gold Inc.	Common Shares	Morda, Nathaniel Jon	4	2021-10-07	15	0.18	342,083	200,000
Billy Goat Brands Ltd. (formerly 1266663 B.C. Ltd.)	Common Shares	Harris, Antony John	4, 5	2021-10-04	10	0.242	5,332,837	20,000
Billy Goat Brands Ltd. (formerly 1266663 B.C. Ltd.)	Common Shares	Harris, Antony John	4, 5	2021-10-04	10	0.255	5,337,837	5,000
Billy Goat Brands Ltd. (formerly 1266663 B.C. Ltd.)	Common Shares	Harris, Antony John	4, 5	2021-10-04	10	0.28	5,338,837	1,000
Billy Goat Brands Ltd. (formerly 1266663 B.C. Ltd.)	Common Shares	Harris, Antony John	4, 5	2021-10-04	10	0.26	5,343,837	5,000
Billy Goat Brands Ltd. (formerly 1266663 B.C. Ltd.)	Common Shares	Harris, Antony John	4, 5	2021-10-04	10	0.265	5,348,837	5,000
Biemark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2021-10-05	10	0.1825	3,210,612	10,000

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Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2021-10-07	10	0.2	3,230,612	20,000
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2021-10-08	10	0.1925	3,232,612	2,000
Biomark Diagnostics Inc.	Common Shares	Maula Bux, Rashid Ahmed	4	2021-10-05	10	0.1825	1,040,100	13,000
Biomark Diagnostics Inc.	Common Shares	Maula Bux, Rashid Ahmed	4	2021-10-06	10	0.2	1,041,100	1,000
BioSyent Inc.	Common Shares	BioSyent Inc.	1	2021-09-23	38	6.9992	5,200	5,200
BioSyent Inc.	Common Shares	BioSyent Inc.	1	2021-09-30	38		0	-5,200
Birchcliff Energy Ltd.	Common Shares	Birchcliff Energy Ltd.	1	2021-10-04	38	6.6473	219,400	219,400
Birchcliff Energy Ltd.	Common Shares	Birchcliff Energy Ltd.	1	2021-10-06	38	6.6973	469,400	250,000
Black Diamond Group Limited	Rights DSU	Hedges, Brian Robie	4	2021-10-01	56		15,463	3,519
Black Diamond Group Limited	Common Shares	Redmond, Edward John	5	2021-10-04	57		231,416	13,333
Black Diamond Group Limited	Rights RSU	Redmond, Edward John	5	2021-10-04	57		63,334	-13,333
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Cook, Randall	5	2021-10-01	57		49,914	18,467
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Cook, Randall	5	2021-10-01	10	9.4036	40,395	-9,519
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Cook, Randall	5	2021-09-30	30	8.27	4,646	560
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Cook, Randall	5	2021-10-01	57		27,790	-18,467
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Eacobacci, Tom	5	2021-10-06	10	9.3482	0	-171,300
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Eacobacci, Tom	5	2020-06-15	00			
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Eacobacci, Tom	5	2021-09-30	30	8.27	2,500	2,500
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	2021-10-01	57		237,315	12,311
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	2021-10-01	10	9.4036	232,701	-4,614
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Ho, Sai Yuen (Billy)	5	2021-09-30	30	8.27	11,537	1,537
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Ho, Sai Yuen (Billy)	5	2021-10-01	57		59,360	-12,311
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Rai, Steve	5	2021-10-01	57		14,162	1,846
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Rai, Steve	5	2021-10-01	10	11.819	13,084	-1,078
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Rai, Steve	5	2021-09-30	30	12.33	3,071	1,183
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Rai, Steve	5	2021-10-01	57		64,169	-1,846
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	2021-10-01	57		231,418	10,003

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	White-Ivy, Nita	5	2021-10-01	10	9.4036	226,044	-5,374
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	White-Ivy, Nita	5	2021-10-01	57		39,574	-10,003
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	2021-10-01	57		45,615	6,925
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	2021-10-01	10	9.4036	41,893	-3,722
BlackBerry Limited (formerly Research In Motion Limited)	Common Shares	Wilson, Mark George	5	2021-09-30	30	8.27	25,464	1,537
BlackBerry Limited (formerly Research In Motion Limited)	Restricted Share Units	Wilson, Mark George	5	2021-10-01	57		34,561	-6,925
Blackrock Silver Corp.	Options	Howald, William Carl	4	2021-10-04	50	0.79	1,850,000	225,000
Blackrock Silver Corp.	Options	Kaip, Andrew William	4	2021-10-04	00			
Blackrock Silver Corp.	Options	Kaip, Andrew William	4	2021-10-04	00			
Blackrock Silver Corp.	Options	Kaip, Andrew William	4	2021-10-04	50		200,000	200,000
Blackrock Silver Corp.	Options	Kumar, Amit	5	2021-10-04	50	0.79	1,090,000	100,000
Blackrock Silver Corp.	Options	Laing, David Charles	4	2021-10-04	50	0.79	875,000	150,000
Blackrock Silver Corp.	Options	Minhas, Randip	5	2021-10-04	50	0.79	1,125,000	175,000
Blackrock Silver Corp.	Options	Pollard, Andrew	4, 5	2021-10-04	50		2,100,000	225,000
Blackrock Silver Corp.	Options	Seaberg, John W.	4	2021-10-04	50	0.79	990,000	150,000
Blackrock Silver Corp.	Options	Vickerman, Daniel Keith	4	2021-10-04	50	0.79	825,000	175,000
Blackrock Silver Corp.	Options	Wood, Antony	4	2021-10-04	50	0.79	1,230,000	150,000
Bluestone Resources Inc.	Common Shares	Williams, Stephen Charles Hadfield	5	2021-10-05	10	1.31	75,000	5,000
Bluestone Resources Inc.	Common Shares	Williams, Stephen Charles Hadfield	5	2021-10-06	10	1.33	75,100	100
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Bissonnette, Joanne	4	2021-10-01	56	2.0448	538,892	12,459
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Bombardier, Charles	4	2021-10-01	56	2.0448	312,269	24,919
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Fontaine, Diane	4	2021-10-01	56	2.0448	312,269	24,919
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Giard, Diane	4	2021-10-01	56	2.0448	466,491	28,812
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Graham, Anthony R.	4	2021-10-01	56	2.0448	332,606	27,255
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Henningsen, August W.	4	2021-10-01	56	2.0448	348,570	12,459
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Oberhelman, Douglas R.	4	2021-10-01	56	2.0448	308,868	12,459
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Rogers-Hixon, Melinda M.	4	2021-10-01	56	2.0448	66,819	26,476
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Sprunk, Eric	4	2021-10-01	56	2.0448	65,262	24,919
Bombardier Inc.	Deferred Stock Units/UnitOs d'actions diffOrOes	Tyler, Antony N.	4	2021-10-01	56	2.0448	263,742	12,459



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.09	1,336,100	44,700
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.08	1,340,100	4,000
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.07		1,400
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.07		1,400
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.13	1,364,100	24,000
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.12	1,389,700	25,600
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.11	1,389,900	200
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.1	1,390,100	200
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-08-19	10	1.07	1,391,400	1,300
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-09-14	10	1.08	1,398,700	7,300
Bonterra Resources Inc.	Common Shares	Wexford Capital LP	3	2021-09-14	10	1.07	1,402,100	3,400
Brookfield Asset Management Inc.	Deferred Share Units	Allan, Elyse	4	2021-09-30	30	53.94	37,975	92
Brookfield Asset Management Inc.	Deferred Share Units	Allan, Elyse	4	2021-09-30	56	55.374	38,923	948
Brookfield Asset Management Inc.	Deferred Share Units	Braly, Angela F.	4	2021-09-30	30	53.94	46,269	111
Brookfield Asset Management Inc.	Deferred Share Units	Braly, Angela F.	4	2021-09-30	56	55.374	47,284	1,015
Brookfield Asset Management Inc.	Deferred Share Units	Coutu, Marcel R.	4	2021-09-30	30	68.46	98,390	116
Brookfield Asset Management Inc.	Deferred Share Units	Coutu, Marcel R.	4	2021-09-30	30	53.94	98,510	120
Brookfield Asset Management Inc.	Deferred Share Units	Coutu, Marcel R.	4	2021-09-30	56	55.374	99,639	1,129
Brookfield Asset Management Inc.	Deferred Share Units	Fukakusa, Janice Rose	4	2021-09-30	30	53.94	5,214	12
Brookfield Asset Management Inc.	Deferred Share Units	Fukakusa, Janice Rose	4	2021-09-30	56	55.374	6,117	903
Brookfield Asset Management Inc.	Deferred Share Units	Kempston Darkes, V. Maureen	4	2021-09-30	30	68.46	94,272	155
Brookfield Asset Management Inc.	Deferred Share Units	Kempston Darkes, V. Maureen	4	2021-09-30	30	53.94	94,344	72
Brookfield Asset Management Inc.	Deferred Share Units	Kempston Darkes, V. Maureen	4	2021-09-30	56	55.374	94,829	485
Brookfield Asset Management Inc.	Deferred Share Units	Marks, Howard Stanley	4	2021-09-30	30	53.94	7,427	18
Brookfield Asset Management Inc.	Deferred Share Units	Marks, Howard Stanley	4	2021-09-30	56	55.374	8,330	903
Brookfield Asset Management Inc.	Deferred Share Units	McKenna, Frank	4	2021-09-02	30	53.94	302,565	377
Brookfield Asset Management Inc.	Deferred Share Units	McKenna, Frank	4	2021-09-30	30	68.46	302,916	351
Brookfield Asset Management Inc.	Deferred Share Units	McKenna, Frank	4	2021-09-30	56	55.374	305,173	2,257
Brookfield Asset Management Inc.	Deferred Share Units	Miranda Robredo, Rafael	4	2021-09-30	30	53.94	27,257	66
Brookfield Asset Management Inc.	Deferred Share Units	Miranda Robredo, Rafael	4	2021-09-30	56	55.374	28,228	971
Brookfield Asset Management Inc.	Deferred Share Units	O'Donnell, Augustine Thomas	4	2021-09-30	30	68.46	62,244	16
Brookfield Asset Management Inc.	Deferred Share Units	O'Donnell, Augustine Thomas	4	2021-09-30	30	53.94	62,378	134
Brookfield Asset Management Inc.	Deferred Share Units	O'Donnell, Augustine Thomas	4	2021-09-30	56	55.374	63,348	970
Brookfield Asset Management Inc.	Deferred Share Units	Olayan, Hutham Suliman	4	2021-09-30	30	53.94	2,091	5
Brookfield Asset Management Inc.	Deferred Share Units	Olayan, Hutham Suliman	4	2021-09-30	56	55.374	2,994	903

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Brookfield Asset Management Inc.	Deferred Share Units	Seek, Ngee Huat	4	2021-09-30	30	68.46	67,814	29
Brookfield Asset Management Inc.	Deferred Share Units	Seek, Ngee Huat	4	2021-09-30	30	53.94	67,948	134
Brookfield Asset Management Inc.	Deferred Share Units	Seek, Ngee Huat	4	2021-09-30	56	55.374	68,919	971
Brookfield Asset Management Inc.	Deferred Share Units	Taylor, Diana	4	2021-09-30	30	68.46	94,733	41
Brookfield Asset Management Inc.	Deferred Share Units	Taylor, Diana	4	2021-09-30	30	53.94	94,919	186
Brookfield Asset Management Inc.	Deferred Share Units	Taylor, Diana	4	2021-09-30	56	55.374	95,890	971
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-01	38	42.729	1,137	1,137
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-01	38	53.942	73,965	72,828
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-02	38	42.781	80,170	6,205
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-02	38	53.787	92,270	12,100
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-03	38	42.803	98,475	6,205
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-03	38	53.589	115,175	16,700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-07	38	42.4	120,337	5,162
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-07	38	53.457	138,837	18,500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-08	38	42.765	144,511	5,674
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-08	38	54.25	158,311	13,800
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-09	38	43.034	163,131	4,820
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-09	38	54.463	182,031	18,900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-10	38	42.556	187,057	5,026
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-10	38	53.796	201,557	14,500
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-13	38	42.477	206,249	4,692
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-13	38	53.792	225,187	18,938
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-14	38	42.519	230,533	5,346
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-14	38	53.918	245,133	14,600
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-15	38	42.104	250,397	5,264
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-15	38	53.281	266,597	16,200
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-16	38	42.338	271,929	5,332
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-16	38	53.569	284,629	12,700
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-17	38	42.086	289,975	5,346
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-17	38	53.592	308,913	18,938
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-20	38	41.351	313,416	4,503

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-20	38	53.06	332,354	18,938
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-21	38	42.386	337,088	4,734
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-21	38	54.277	356,026	18,938
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-22	38	43.447	357,699	1,673
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-22	38	55.601	365,699	8,000
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-29	38	43.673	366,010	311
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-29	38	57.155	366,910	900
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-30	38		295,480	-71,430
Brookfield Business Partners L.P.	Limited Partnership Units	Brookfield Business Partners L.P.	1	2021-09-30	38		0	-295,480
Brookfield Business Partners L.P.	Limited Partnership Units	Herkes, Anne Ruth	4	2021-10-08	30	46.547	834	268
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	2021-09-29	30		18,760	66
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	2021-09-29	30		18,802	42
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	2021-09-29	30		18,822	20
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	2021-09-29	30		18,848	26
Brookfield Renewable Partners L.P.	Deferred Share Units	Christie, Douglas	7	2021-09-29	30		18,863	15
Brookfield Renewable Partners L.P.	Deferred Share Units	Deschatelets, Julian	7	2021-09-29	30		2,852	6
Brookfield Renewable Partners L.P.	Deferred Share Units	Deschatelets, Julian	7	2021-09-29	30		2,859	7
Brookfield Renewable Partners L.P.	Deferred Share Units	Deschatelets, Julian	7	2021-09-29	30		2,866	7
Brookfield Renewable Partners L.P.	Deferred Share Units	Deschatelets, Julian	7	2021-09-29	30		2,870	4
Brookfield Renewable Partners L.P.	Deferred Share Units	Deschatelets, Julian	7	2021-09-29	30		2,872	2
BRP Inc.	Options	Boisjoli, Jos@	4, 5	2021-09-30	51	20.327	1,467,000	-210,100
BRP Inc.	Options	Boisjoli, Jos@	4, 5	2021-09-30	51	39.449	1,107,600	-359,400
BRP Inc.	Options	Boisjoli, Jos@	4, 5	2021-09-30	51	62.685	931,200	-176,400
BRP Inc.	Options	Boisjoli, Jos@	4, 5	2021-09-30	51	46.15	758,550	-172,650
BRP Inc.	Options	Boisjoli, Jos@	4, 5	2021-09-30	51	26.659	647,575	-110,975
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	51	20.327	1,222,450	210,100
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	10	118	1,012,350	-210,100
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	51	39.449	1,371,750	359,400
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	10	118	1,012,350	-359,400
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	51	62.685	1,188,750	176,400
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	10	118	1,012,350	-176,400
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	51	46.15	1,185,000	172,650
BRP Inc.	Subordinate Voting Shares	Boisjoli, Jos@	4, 5	2021-09-30	10	118	1,012,350	-172,650

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
BRP Inc.	Subordinate Voting Shares	Boisjoli, JosO	4, 5	2021-09-30	51	26.659	1,123,325	110,975
BRP Inc.	Subordinate Voting Shares	Boisjoli, JosO	4, 5	2021-09-30	10	118	1,012,350	-110,975
BRP Inc.	Subordinate Voting Shares	Boisjoli, JosO	4, 5	2021-09-30	10	118	1,000,350	-12,000
BTB Real Estate Investment Trust	Parts diffOrOes	Ducharme, Lucie	4	2021-09-30	46	4.068	53,891	2,151
BTB Real Estate Investment Trust	Parts diffOrOes	Ducharme, Lucie	4	2021-09-30	35	4.068	54,839	948
BTB Real Estate Investment Trust	Parts diffOrOes	Janson, Jean-Pierre	4	2021-09-30	35	4.068	12,273	221
BTB Real Estate Investment Trust	Trust Units	Martin, Luc	4	2021-10-05	10	4	15,600	600
BTB Real Estate Investment Trust	Trust Units	Martin, Luc	4	2021-10-05	10	4.01	20,000	4,400
BTB Real Estate Investment Trust	Parts diffOrOes	Proteau, Jocelyn	4	2021-09-30	35	4.068	24,546	442
BURCON NUTRASCIENCE CORPORATION	Options	Gilpin, John Douglas	4	2011-09-22	50			40,000
BURCON NUTRASCIENCE CORPORATION	Options	Gilpin, John Douglas	4	2011-09-22	50			40,000
BURCON NUTRASCIENCE CORPORATION	Common Shares	Keppenne, Benoit	8	2021-10-04	10	1.85	11,000	3,000
CAE Inc.	Deferred Share Units	Billson, Margaret	4	2021-09-30	56	37.64	47,750	1,521
CAE Inc.	Deferred Share Units	Fortier, Michael M	4	2021-09-30	56	37.64	84,831	1,481
CAE Inc.	Deferred Share Units	Harrison, Marianne	4	2021-09-30	56	37.64	15,022	1,554
CAE Inc.	Deferred Share Units	MacGibbon, Alan	4	2021-09-30	56	37.64	52,997	1,461
CAE Inc.	Deferred Share Units	Maher, Mary Lou Katherine	4	2021-09-30	56	37.64	1,358	817
CAE Inc.	Deferred Share Units	Manley, John Paul	4	2021-09-30	56	37.64	147,979	2,424
CAE Inc.	Deferred Share Units	Olivier, Francois	4	2021-09-30	56	37.64	32,064	1,461
CAE Inc.	Deferred Share Units	Perkins, David	4	2021-09-30	56	37.64	9,124	1,429
CAE Inc.	Deferred Share Units	Roach, Michael	4	2021-09-30	56	37.64	26,496	1,461
CAE Inc.	Deferred Share Units	Stevens, Andrew John	4	2021-09-30	56	37.64	79,143	1,461
Calfrac Well Services Ltd.	Common Shares	Mathison, Ronald	4, 6	2021-10-07	10	4.15	280,466	175,000
Calfrac Well Services Ltd.	Common Shares	Mathison, Ronald	4, 6	2021-10-07	10	4.15	581,042	175,000
Calibre Mining Corp.	Restricted Share Units	Hurst, Douglas	4	2021-10-08	59		166,666	-83,334
Calibre Mining Corp.	Restricted Share Units	Hurst, Douglas	4	2021-10-08	57		83,333	-83,333
Calibre Mining Corp.	Restricted Share Units	Patterson, William David	5	2021-10-08	59		272,335	-83,334
Calibre Mining Corp.	Restricted Share Units	Threlkeld, Raymond Wesley	4	2021-10-08	59		83,333	-83,334
Calibre Mining Corp.	Restricted Share Units	Walsh, Audra Beth	4	2021-10-08	59		41,667	-41,666
Cameco Corporation	Common Shares	Doerksen, David Fehr	5	2021-10-06	51	14.7	24,337	10,000
Cameco Corporation	Common Shares	Doerksen, David Fehr	5	2021-10-06	10	26.91	14,337	-10,000
Cameco Corporation	Options	Doerksen, David Fehr	5	2021-10-06	51	14.7	77,271	-10,000
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Bralver, Charles Norman	4	2021-09-10	56	13.631	104,820	574
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Bralver, Charles Norman	4	2021-09-30	56	14.323	106,391	1,571
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-01	38	15.23	39,800	19,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-02	38	15.34	59,600	19,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-02	38		39,600	-20,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-03	38			-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-03	38			-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-03	38	15.27	59,600	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-03	38		39,800	-19,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-07	38	15.47	59,800	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-07	38		40,000	-19,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-08	38	15.2	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-08	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-09	38	15.3	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-09	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-10	38	15.28	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-10	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-13	38	15.06	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-13	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-14	38	14.89	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-14	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-15	38	14.77	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-15	38	15.24		20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-15	38	15.24		20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-15	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-16	38		20,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-16	38	15.24	40,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-17	38	15.26	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-17	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-20	38	14.5	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-20	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-21	38	14.37	60,000	20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-21	38		40,000	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-22	38	14.51	57,800	17,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-22	38		37,800	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-23	38	14.49	56,900	19,100

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-23	38	14.2		23,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-23	38	14.2		23,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-23	38		36,900	-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-24	38			-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-24	38			-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-24	38		19,100	-17,800
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-24	38	14.2	42,600	23,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-24	38			-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-24	38			-20,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-27	38	14.28	66,500	23,900
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-27	38		47,400	-19,100
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-28	38	13.96	72,400	25,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-28	38		48,900	-23,500
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-29	38	13.93	71,900	23,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-29	38		48,000	-23,900
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-09-30	38	13.95	73,000	25,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-10-01	38		48,000	-25,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-10-04	38			23,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-10-04	38			23,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-10-04	38		23,000	-25,000
Canaccord Genuity Group Inc.	Common Shares	Canaccord Genuity Group Inc.	1	2021-10-04	38		0	-23,000
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Denham, Gillian H. (Jill)	4	2021-09-10	56	13.631	7,819	43
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Denham, Gillian H. (Jill)	4	2021-09-30	56	14.323	9,390	1,571
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Harris, Michael Deane	4	2021-09-10	56	13.631	199,417	1,091
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Harris, Michael Deane	4	2021-09-30	56	14.323	200,988	1,571
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Jones, Merri	4	2021-09-10	56	13.631	31,305	171
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Jones, Merri	4	2021-09-30	56	14.323	32,876	1,571
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Lyons, Terrence	4	2021-09-10	56	13.631	119,193	652
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Lyons, Terrence	4	2021-09-30	56	14.323	120,764	1,571
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	O'Connor, Jo-Anne Carol Alice	4	2021-08-05	00			
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	O'Connor, Jo-Anne Carol Alice	4	2021-09-30	56	14.323	976	976

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Shah, Dipesh Jayantilal	4	2021-09-10	56	13.631	91,962	503
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Shah, Dipesh Jayantilal	4	2021-09-30	56	14.323	93,533	1,571
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	SHAW, FRANCESCA	4	2021-09-24	00			
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	SHAW, FRANCESCA	4	2021-09-30	56	14.323	120	120
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Tennant, Sally Jennifer	4	2021-09-10	56	13.631	26,589	146
Canaccord Genuity Group Inc.	Rights Director Deferred Share Units (DSUs)	Tennant, Sally Jennifer	4	2021-09-30	56	14.323	28,160	1,571
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-01	38	49.64	11,200	11,200
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-01	38		0	-11,200
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-01	38	39.434	31,208	31,208
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-01	38		0	-31,208
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-08	38	49.569	64,002	64,002
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-08	38		0	-64,002
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-08	38	38.901	150,000	150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-08	38		0	-150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-09	38	48.927	64,002	64,002
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-09	38		0	-64,002
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-09	38	38.711	150,000	150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-09	38		0	-150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-10	38	49.373	53,702	53,702
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-10	38		0	-53,702
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-10	38	39.057	118,721	118,721
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-10	38		0	-118,721
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-13	38	48.991	62,400	62,400
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-13	38		0	-62,400
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-13	38	38.683	150,000	150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-13	38		0	-150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-14	38	49.298	63,100	63,100
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-14	38		0	-63,100
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-14	38	38.833	147,115	147,115
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-14	38		0	-147,115
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-15	38	48.316	64,000	64,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-15	38		0	-64,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-15	38	38.045	150,000	150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-15	38		0	-150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-16	38	47.475	64,000	64,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-16	38		0	-64,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-16	38	37.461	140,288	140,288
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-16	38		0	-140,288
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-17	38	47.326	64,000	64,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-17	38		0	-64,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-17	38	37.202	150,000	150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-17	38		0	-150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-20	38	46.658	64,000	64,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-20	38		0	-64,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-20	38	36.391	150,000	150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-20	38		0	-150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-21	38	47.091	53,000	53,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-21	38		0	-53,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-21	38	36.888	150,000	150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-21	38		0	-150,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-22	38	47.841	56,000	56,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-22	38		0	-56,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-23	38	48.713	54,000	54,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-23	38		0	-54,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-24	38	47.924	41,800	41,800
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-24	38		0	-41,800
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-27	38	49.058	34,700	34,700
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-27	38		0	-34,700
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-28	38	48.515	20,000	20,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-28	38		0	-20,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-29	38	46.555	8,000	8,000
Canada Goose Holdings Inc.	Subordinate Voting Shares	Canada Goose Holdings Inc.	1	2021-09-29	38		0	-8,000



**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	Canadian National Railway Company	1	2021-09-20	38	114.38	152,198	82,185
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-21	38	115.05	233,904	81,706
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-22	38		151,719	-82,185
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-22	38	115.53	233,085	81,366
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-23	38		151,379	-81,706
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-23	38	116.48	232,078	80,699
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-24	38		150,712	-81,366
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-24	38	115.85	231,854	81,142
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-27	38		151,155	-80,699
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-27	38	148.18	232,814	81,659
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-28	38		151,672	-81,142
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-28	38	146.76	234,121	82,449
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-29	38		152,462	-81,659
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-29	38	148.19	234,114	81,652
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-30	38		151,665	-82,449
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-09-30	38	147.73	233,571	81,906
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-10-01	38		151,919	-81,652
Canadian National Railway Company	Common Shares	Canadian National Railway Company	1	2021-10-04	38		70,013	-81,906
Canadian Natural Resources Limited	Common Shares	Best, Catherine May	4	2021-10-01	46	46.618	47,613	938
Canadian Natural Resources Limited	Common Shares	Bradley, Bryan Charles	5	2021-10-05	51	49.28	19,248	9,000
Canadian Natural Resources Limited	Common Shares	Bradley, Bryan Charles	5	2021-10-05	10	49.28	10,248	-9,000
Canadian Natural Resources Limited	Options	Bradley, Bryan Charles	5	2021-10-05	51	43.99	233,500	-9,000
Canadian Natural Resources Limited	Common Shares	Canadian Natural Resources Limited	1	2021-09-30	38	43.726	2,320,000	1,680,000
Canadian Natural Resources Limited	Common Shares	Canadian Natural Resources Limited	1	2021-09-30	38	34.501	4,000,000	1,680,000
Canadian Natural Resources Limited	Common Shares	Canadian Natural Resources Limited	1	2021-09-30	38		960,000	-3,040,000
Canadian Natural Resources Limited	DSUs (Cash Value Only)	Cannon, Margaret Elizabeth	4	2021-10-01	46	46.618	4,385	938
Canadian Natural Resources Limited	Common Shares	Duncan, Sean K.	5	2021-10-04	10	47.86	41,479	-4,509
Canadian Natural Resources Limited	Common Shares	Farrell, Dawn Lorraine	4	2021-08-04	00			
Canadian Natural Resources Limited	Common Shares	Farrell, Dawn Lorraine	4	2021-10-01	46	46.618	626	626
Canadian Natural Resources Limited	Common Shares	Fichter, Darren	5	2021-10-05	51	42.14	105,379	38,000
Canadian Natural Resources Limited	Common Shares	Fichter, Darren	5	2021-10-05	10	48.95	67,379	-38,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Canadian Natural Resources Limited	Options	Fichter, Darren	5	2021-10-05	51	42.14	502,500	-38,000
Canadian Natural Resources Limited	DSUs	Fong, Christopher Lee	4	2021-10-01	46	46.618	17,380	938
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-04	51	42.14	49,391	10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-04	10	48.3	39,391	-10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-05	51	43.99	49,391	10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-05	10	49.25	39,391	-10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-05	51	42.14	47,391	8,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-05	10	49.15	39,391	-8,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-07	51	43.99	49,391	10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-07	10	49.39	39,391	-10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-08	51	43.99	49,391	10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-08	10	49.69	39,391	-10,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-08	51	43.99	47,391	8,000
Canadian Natural Resources Limited	Common Shares	Frankiw, Allan E	5	2021-10-08	10	49.59	39,391	-8,000
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2021-10-04	51	42.14	238,500	-10,000
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2021-10-05	51	43.99	228,500	-10,000
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2021-10-05	51	42.14	220,500	-8,000
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2021-10-07	51	43.99	210,500	-10,000
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2021-10-08	51	43.99	200,500	-10,000
Canadian Natural Resources Limited	Options	Frankiw, Allan E	5	2021-10-08	51	43.99	192,500	-8,000
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2021-10-08	51	20.76	25,033	2,350
Canadian Natural Resources Limited	Common Shares	Froc, Jay Ellery	5	2021-10-08	10	49.52	22,683	-2,350
Canadian Natural Resources Limited	Options	Froc, Jay Ellery	5	2021-10-08	51	20.76	298,200	-2,350
Canadian Natural Resources Limited	Common Shares	Giffin, Gordon D.	4	2021-10-01	46	46.618	92,797	938
Canadian Natural Resources Limited	Common Shares	Gobert, Wilfred Arthur	4	2021-10-01	46	46.618	8,367	938
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-04	10	47	39,418	-5,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-04	10	48.28	34,418	-5,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-05	10	49.08	29,418	-5,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-05	51	42.14	39,418	10,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-05	10	49.09		-10,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-05	10	49.117	29,418	-10,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-05	51	43.99	39,418	10,000
Canadian Natural Resources Limited	Common Shares	McIntyre, Pamela Anne	5	2021-10-05	10	48.76	29,418	-10,000
Canadian Natural Resources Limited	Options	McIntyre, Pamela Anne	5	2021-10-05	51	42.14	219,500	-10,000
Canadian Natural Resources Limited	Options	McIntyre, Pamela Anne	5	2021-10-05	51	43.99	209,500	-10,000
Canadian Natural Resources Limited	DSU	McKenna, Frank	4	2021-10-01	46	46.618	60,211	938
Canadian Natural Resources Limited	Common Shares	Mendes, Paul Martin	5	2021-10-04	51	43.99	12,000	12,000
Canadian Natural Resources Limited	Common Shares	Mendes, Paul Martin	5	2021-10-04	51	42.14	24,000	12,000
Canadian Natural Resources Limited	Common Shares	Mendes, Paul Martin	5	2021-10-04	51	35.27	30,000	6,000
Canadian Natural Resources Limited	Common Shares	Mendes, Paul Martin	5	2021-10-04	10	48.25		30,000
Canadian Natural Resources Limited	Common Shares	Mendes, Paul Martin	5	2021-10-04	10	48.25	0	-30,000
Canadian Natural Resources Limited	Options	Mendes, Paul Martin	5	2021-10-04	51	43.99	131,750	-12,000
Canadian Natural Resources Limited	Options	Mendes, Paul Martin	5	2021-10-04	51	42.14	119,750	-12,000
Canadian Natural Resources Limited	Options	Mendes, Paul Martin	5	2021-10-04	51	35.27	113,750	-6,000
Canadian Natural Resources Limited	Common Shares	Peterson, William Robert	5	2021-10-08	51	43.99	127,683	20,000
Canadian Natural Resources Limited	Common Shares	Peterson, William Robert	5	2021-10-08	10	49.64	107,683	-20,000
Canadian Natural Resources Limited	Options	Peterson, William Robert	5	2021-10-08	51	43.99	308,000	-20,000
Canadian Natural Resources Limited	Common Shares	Stauth, Scott Gerald	5	2021-10-04	51	42.14	87,221	38,000
Canadian Natural Resources Limited	Common Shares	Stauth, Scott Gerald	5	2021-10-04	10	48.11	49,221	-38,000
Canadian Natural Resources Limited	Common Shares	Stauth, Scott Gerald	5	2021-10-08	51	43.99	87,221	38,000
Canadian Natural Resources Limited	Common Shares	Stauth, Scott Gerald	5	2021-10-08	10	49.6	49,221	-38,000
Canadian Natural Resources Limited	Options	Stauth, Scott Gerald	5	2021-10-04	51	42.14	583,500	-38,000
Canadian Natural Resources Limited	Options	Stauth, Scott Gerald	5	2021-10-08	51	43.99	545,500	-38,000
Canadian Natural Resources Limited	Common Shares	Tuer, David	4	2021-10-01	46	46.618	21,450	938
Canadian Natural Resources Limited	DSUs	Verschuren, Annette Marie	4	2021-10-01	46	46.618	17,380	938
Canadian Natural Resources Limited	Common Shares	Zabek, Robin Sean	5	2021-10-06	10	48	55,515	-4,080
Canadian Natural Resources Limited	Options	Zabek, Robin Sean	5	2021-10-05	51	44.16	172,500	-14,250
Canadian Natural Resources Limited	Options	Zabek, Robin Sean	5	2021-10-05	51	44.16	186,750	14,250
Canadian Natural Resources Limited	Options	Zabek, Robin Sean	5	2021-10-05	10	48.9	172,500	-14,250
Canadian Pacific Railway Limited	Rights DSU	Baird, John Russell	4	2021-09-30	56	84.07	32,494	757
Canadian Pacific Railway Limited	Rights DSU	Courville, Isabelle	4	2021-09-30	56	84.07	54,805	1,496
Canadian Pacific Railway Limited	Rights DSU	Denham, Gillian H. (Jill)	4	2021-09-30	56	84.07	23,574	757

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Canadian Pacific Railway Limited	Rights DSU	Hamberger, Edward	4	2021-09-30	56	66.09	7,820	756
Canadian Pacific Railway Limited	Rights DSU	MACDONALD, REBECCA	4	2021-09-30	56	84.07	65,891	871
Canadian Pacific Railway Limited	Rights DSU	Monser, Edward Lomax	4	2021-09-30	56	66.09	10,545	756
Canadian Pacific Railway Limited	Rights DSU	Paull, Matthew	4	2021-09-30	56	66.09	35,552	870
Canadian Pacific Railway Limited	Rights DSU	Peverett, Jane Leslie	4	2021-09-30	56	84.07	24,726	871
Canadian Pacific Railway Limited	Rights DSU	Robertson, Andrea	4	2021-09-30	56	84.07	7,809	757
Canadian Pacific Railway Limited	Rights DSU	Trafton II, Gordon T.	4	2021-09-30	56	66.09	24,512	870
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	51	40.3	12,000	12,000
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.52	4,000	-8,000
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.53	2,500	-1,500
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.53	2,400	-100
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.54	1,900	-500
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.55	1,400	-500
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.56	100	-1,300
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.571	0	-100
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	51	40.3	6,220	6,220
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.424	6,020	-200
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.411	5,920	-100
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.41	5,900	-20
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.4	0	-5,900
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	51	43.76	6,695	6,695
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.63	0	-6,695
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.27	341	-744
Canadian Pacific Railway Limited	Common Shares	Velani, Nadeem	5	2021-10-01	10	83.263	141	-200
Canadian Pacific Railway Limited	Options	Velani, Nadeem	5	2021-10-01	51	40.3		-12,000
Canadian Pacific Railway Limited	Options	Velani, Nadeem	5	2021-10-01	51	40.3		-12,000
Canadian Pacific Railway Limited	Options	Velani, Nadeem	5	2021-10-01	51	40.3	321,480	-12,000
Canadian Pacific Railway Limited	Options	Velani, Nadeem	5	2021-10-01	51	40.3	315,260	-6,220
Canadian Pacific Railway Limited	Options	Velani, Nadeem	5	2021-10-01	51	43.76	308,565	-6,695
Canadian Tire Corporation, Limited	Deferred Share Units	Anderson, Eric Thomas	4	2021-09-30	56	188.18	4,591	58
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Anderson, Robert James	4	2021-10-07	00		2,800	

**Insider Reporting**

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Canadian Tire Corporation, Limited	Deferred Share Units	Court, David	4	2021-09-30	56	188.18	4,763	275
Canadian Tire Corporation, Limited	Deferred Share Units	Jaskolka, Norman	4	2021-09-30	56	188.18	4,852	297
Canadian Tire Corporation, Limited	Deferred Share Units	Leroux, Sylvain	4	2021-09-30	56	188.18	343	226
Canadian Tire Corporation, Limited	Deferred Share Units	Murray, Donald Allan	4	2021-09-30	56	188.18	6,327	254
Canadian Tire Corporation, Limited	Deferred Share Units	Owens, J. Michael	4	2021-09-30	56	188.18	524	80
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2021-09-30	10	179.7		100
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2021-09-30	10	179.7		100
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2021-09-30	10	179.8	1,240	40
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2021-09-30	10	179.7	1,340	100
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2021-10-01	10	176.24	1,440	100
Canadian Tire Corporation, Limited	Non-Voting Shares Class A	Owens, J. Michael	4	2021-10-01	10	175.06	1,540	100
Canadian Tire Corporation, Limited	Deferred Share Units	Trudell, Cynthia Mary	4	2021-09-30	56	188.18	5,828	405
Canadian Western Bank	Common Shares	Bowling, James Jeffrey	5	2021-10-07	10	37.99	559	-2,000
Canadian Western Bank	Common Shares	Rawji, Irfhan Abdulaziz	4	2021-09-23	30		19,328	153
Canadian Western Bank	Common Shares	Rawji, Irfhan Abdulaziz	4	2021-09-23	30		914	7
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-10-04	10	0.11	25,950,000	50,000
Capella Minerals Limited	Common Shares	Fruchtexpress Grabher GmbH & Co KG	3	2021-10-07	10	0.11	26,000,000	50,000
Carbon Streaming Corporation (formerly Mexivada Mining Corp.)	Options	Smith, Geoffrey	5	2021-10-04	00			
Carbon Streaming Corporation (formerly Mexivada Mining Corp.)	Options	Smith, Geoffrey	5	2021-10-04	00		500,000	
Carbon Streaming Corporation (formerly Mexivada Mining Corp.)	Restricted Share Units	Smith, Geoffrey	5	2021-10-04	00			
Carbon Streaming Corporation (formerly Mexivada Mining Corp.)	Restricted Share Units	Smith, Geoffrey	5	2021-10-04	00		500,000	
Cardinal Energy Ltd.	Common Shares	Kelly, David	5	2021-10-06	57		101,032	7,917
Cardinal Energy Ltd.	Restricted Bonus Awards	Kelly, David	5	2021-10-06	57		33,947	-15,225
Cardinal Energy Ltd.	Common Shares	Sterling, Stephanie	4	2021-10-06	57		222,321	4,167
Cardinal Energy Ltd.	Restricted Bonus Awards	Sterling, Stephanie	4	2021-10-06	57		117,933	-8,013
Cardiol Therapeutics Inc.	Common Shares (Class A)	Torre, Guillermo	5	2021-09-30	46	5.7	22,364	4,336
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	BERGEVIN, Christiane	4	2021-10-06	56		155,118	1,635
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Desando, Ralph	4	2021-10-06	56		136,135	192
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Hills, Matthew Bruce	4	2021-10-06	56		124,964	654
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	McIntosh, Keith L.	4	2021-10-06	56		9,206	1,731

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Moody, Bruce Stirling	3, 4	2021-10-06	56		20,886	192
CareRx Corporation (formerly Centric Health Corporation)	Restricted Stock Units	Shevel, Jack	4, 6, 7	2021-10-06	56		62,096	192
Celestica Inc.	Deferred Share Units	Onex Corporation	3	2021-09-30	56	8.88	312,286	6,615
Centerra Gold Inc.	Deferred Share Units	Connor, Richard Webster	4	2021-09-08	30		59,885	445
Centerra Gold Inc.	Rights Restricted Share Units	Connor, Richard Webster	4	2021-09-30	56	8.75	3,300	3,300
Centerra Gold Inc.	Common Shares	D'Orazio, Claudia	5	2021-09-08	30		3,663	27
Centerra Gold Inc.	Performance Share Units	D'Orazio, Claudia	5	2021-09-08	30		43,756	326
Centerra Gold Inc.	Rights Restricted Share Units	D'Orazio, Claudia	5	2021-09-08	30		49,827	370
Centerra Gold Inc.	Common Shares	Desjardins, Daniel Richard	5	2021-09-08	30		117,299	162
Centerra Gold Inc.	Performance Share Units	Desjardins, Daniel Richard	5	2021-09-08	30		90,434	673
Centerra Gold Inc.	Rights Restricted Share Units	Desjardins, Daniel Richard	5	2021-09-08	30		82,562	614
Centerra Gold Inc.	Rights Restricted Share Units	Kasenov, Dushenaly	4	2021-09-08	30		5,710	42
Centerra Gold Inc.	Rights Restricted Share Units	Kasenov, Dushenaly	4	2021-09-30	56	8.75	9,010	3,300
Centerra Gold Inc.	Common Shares	Kwong, Dennis	5	2021-09-08	30		47,244	167
Centerra Gold Inc.	Performance Share Units	Kwong, Dennis	5	2021-09-08	30		93,849	699
Centerra Gold Inc.	Rights Restricted Share Units	Kwong, Dennis	5	2021-09-08	30		79,224	588
Centerra Gold Inc.	Rights Restricted Share Units	Kyshtobaev, Nurlan	4	2021-09-08	30		1,674	12
Centerra Gold Inc.	Rights Restricted Share Units	Kyshtobaev, Nurlan	4	2021-09-30	56	8.75	4,974	3,300
Centerra Gold Inc.	Common Shares	Millman, Darren	5	2021-09-08	30		19,802	97
Centerra Gold Inc.	Performance Share Units	Millman, Darren	5	2021-09-08	30		117,106	872
Centerra Gold Inc.	Rights Restricted Share Units	Millman, Darren	5	2021-09-08	30		142,197	1,057
Centerra Gold Inc.	Rights Restricted Share Units	Parrett, Michael S.	4	2021-09-08	30		114,193	850
Centerra Gold Inc.	Rights Restricted Share Units	Parrett, Michael S.	4	2021-09-30	56	8.75	119,907	5,714
Centerra Gold Inc.	Common Shares	Pearson, John William	5	2021-09-08	30		18,831	67
Centerra Gold Inc.	Performance Share Units	Pearson, John William	5	2021-09-08	30		31,894	237
Centerra Gold Inc.	Rights Restricted Share Units	Pearson, John William	5	2021-09-08	30		38,820	287
Centerra Gold Inc.	Common Shares	Perron, Jacques	4	2021-09-30	57	8.75	97,878	1,650
Centerra Gold Inc.	Rights Restricted Share Units	Perron, Jacques	4	2021-09-30	56	8.75	3,300	3,300
Centerra Gold Inc.	Rights Restricted Share Units	Perron, Jacques	4	2021-09-30	57	8.75	1,650	-1,650
Centerra Gold Inc.	Rights Restricted Share Units	Perron, Jacques	4	2021-09-30	59	8.75	0	-1,650
Centerra Gold Inc.	Common Shares	Perry, Scott Graeme	5	2021-09-08	30		73,519	18
Centerra Gold Inc.	Performance Share Units	Perry, Scott Graeme	5	2021-09-08	30		265,558	1,977
Centerra Gold Inc.	Rights Restricted Share Units	Perry, Scott Graeme	5	2021-09-08	30		197,058	1,466
Centerra Gold Inc.	Deferred Share Units	Pressler, Sheryl	4	2021-09-08	30		32,969	245

**Insider Reporting**

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Centerra Gold Inc.	Rights Restricted Share Units	Pressler, Sheryl	4	2021-09-30	56	8.75	3,300	3,300
Centerra Gold Inc.	Common Shares	Rehman, Yousef	5	2021-09-08	30		22,139	151
Centerra Gold Inc.	Performance Share Units	Rehman, Yousef	5	2021-09-08	30		87,934	655
Centerra Gold Inc.	Rights Restricted Share Units	Rehman, Yousef	5	2021-09-08	30		61,629	457
Centerra Gold Inc.	Deferred Share Units	Walter, Bruce V.	4	2021-09-08	30		188,682	1,405
Centerra Gold Inc.	Deferred Share Units	Walter, Bruce V.	4	2021-09-30	56	8.75	196,682	8,000
Centerra Gold Inc.	Rights Restricted Share Units	Walter, Bruce V.	4	2021-09-08	30		30,292	225
Centerra Gold Inc.	Deferred Share Units	Wright, Paul Nicholas	4	2021-09-08	30		6,778	50
Centerra Gold Inc.	Deferred Share Units	Wright, Paul Nicholas	4	2021-09-30	56	8.75	8,836	2,058
Centerra Gold Inc.	Rights Restricted Share Units	Wright, Paul Nicholas	4	2021-09-08	30		4,515	33
Centerra Gold Inc.	Rights Restricted Share Units	Wright, Paul Nicholas	4	2021-09-30	56	8.75	5,886	1,371
Centerra Gold Inc.	Deferred Share Units	Yurkovich, Susan L	4	2021-09-08	30		62,773	468
Centerra Gold Inc.	Deferred Share Units	Yurkovich, Susan L	4	2021-09-30	56	8.75	67,787	5,014
Ceres Global Ag Corp.	Options	Bierley, Jacob Jess	5	2021-09-30	50	4.67	75,000	25,000
Ceres Global Ag Corp.	Options	Clevenger, Dustin	5	2021-07-01	00		100,000	
Ceres Global Ag Corp.	Options	Clevenger, Dustin	5	2021-09-30	50	4.67	125,000	25,000
Ceres Global Ag Corp.	Common Shares	Day, Robert William	5	2021-09-30	57		171,907	27,752
Ceres Global Ag Corp.	Options	Day, Robert William	5	2016-12-14	99			360,787
Ceres Global Ag Corp.	Options	Day, Robert William	5	2016-12-14	99		360,787	360,787
Ceres Global Ag Corp.	Options	Day, Robert William	5	2021-06-30	52		387,500	-339,551
Ceres Global Ag Corp.	Options	Day, Robert William	5	2021-09-30	50	4.67	487,500	100,000
Ceres Global Ag Corp.	Rights Restricted Stock Units	Day, Robert William	5	2021-09-30	51		155,038	-51,680
Ceres Global Ag Corp.	Rights Restricted Stock Units	Day, Robert William	5	2021-09-30	56		197,865	42,827
Ceres Global Ag Corp.	Options	Gathman, Patrick	5	2021-07-01	00		40,000	
Ceres Global Ag Corp.	Options	Gathman, Patrick	5	2021-09-30	50	4.67	60,000	20,000
Ceres Global Ag Corp.	Options	Goldman, Glen Marshall	5	2021-09-30	50	4.67	75,000	5,000
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	2020-12-31	56			8,927
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	2020-12-31	56		177,815	8,927
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	2021-03-31	56			7,601
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	2021-03-31	56		185,416	7,601
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	2021-09-22	56			7,735
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	2021-09-22	56		193,151	7,735
Ceres Global Ag Corp.	Rights DSU	Joel, Harvey T.	4	2021-09-30	56		200,704	7,553
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	2020-12-31	56			8,752
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	2020-12-31	56		180,745	8,752
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	2021-03-31	56			6,557
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	2021-03-31	56		187,302	6,557
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	2021-09-22	56			6,674
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	2021-09-22	56		193,976	6,674
Ceres Global Ag Corp.	Rights DSU	Mize, Gary	4	2021-09-30	56		200,493	6,517
Ceres Global Ag Corp.	Options	Paz, Carlos Esteban	5	2021-09-30	50	4.67	100,000	40,000
Ceres Global Ag Corp.	Options	Peterson Blomquist, Sarah Lynn Geneva	5	2021-09-30	50	4.67	65,000	5,000
Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	2020-12-31	56			8,545
Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	2020-12-31	56		177,960	8,545
Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	2021-03-31	56			7,275
Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	2021-03-31	56		185,235	7,275

**Insider Reporting**

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Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	2021-09-22	56			7,405
Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	2021-09-22	56		192,640	7,405
Ceres Global Ag Corp.	Rights DSU	Speers, Douglas Edgar	4	2021-09-30	56		199,870	7,230
CES Energy Solutions Corp.	Common Shares	Armour III, Spencer Davis	4	2021-10-01	57	1.7544	157,002	22,006
CES Energy Solutions Corp.	Common Shares	Armour III, Spencer Davis	4	2021-10-01	10	1.8741	156,988	-14
CES Energy Solutions Corp.	Restricted Share Units	Armour III, Spencer Davis	4	2021-10-01	57	1.7544	44,100	-22,006
CES Energy Solutions Corp.	Common Shares	Cosby, Stella	4	2021-10-01	57	1.7544	197,999	22,006
CES Energy Solutions Corp.	Common Shares	Cosby, Stella	4	2021-10-01	10	1.8741	187,924	-10,075
CES Energy Solutions Corp.	Restricted Share Units	Cosby, Stella	4	2021-10-01	57	1.7544	44,012	-22,006
CES Energy Solutions Corp.	Common Shares	Hooks, John Michael	4	2021-10-01	57	1.7544	1,344,049	22,006
CES Energy Solutions Corp.	Restricted Share Units	Hooks, John Michael	4	2021-10-01	57	1.7544	44,012	-22,006
CES Energy Solutions Corp.	Common Shares	Kitagawa, Kyle	4	2021-10-01	57	1.7544	710,438	22,006
CES Energy Solutions Corp.	Common Shares	Kitagawa, Kyle	4	2021-10-01	10	1.8741	700,363	-10,075
CES Energy Solutions Corp.	Restricted Share Units	Kitagawa, Kyle	4	2021-10-01	57	1.7544	44,012	-22,006
CES Energy Solutions Corp.	Common Shares	Scherman, Philip	4	2021-10-01	57	1.7544	254,214	22,006
CES Energy Solutions Corp.	Restricted Share Units	Scherman, Philip	4	2021-10-01	57	1.7544	44,012	-22,006
CGI Inc.	Rights Performance Share Units	Baticle, Jean-Michel	5	2021-10-01	56	114.46	49,817	14,861
CGI Inc.	Rights Performance Share Units	Boulanger, Francois	5	2021-10-01	56	114.46	77,087	20,059
CGI Inc.	Rights Performance Share Units	Dube, Benoit	5	2021-10-01	56	114.46	39,962	10,484
CGI Inc.	Rights Performance Share Units	Gerin, Laurent Serge	5	2021-10-01	56	114.46	14,827	4,875
CGI Inc.	Rights Performance Share Units	Godin, Julie	4	2021-10-01	56	114.46	47,030	14,416
CGI Inc.	Rights Performance Share Units	Godin, Serge	3, 4	2021-10-01	56	114.46	311,611	83,657
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2021-09-28	38	109.79	50,000	50,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2021-09-29	38	109.8	100,000	50,000
CGI Inc.	Subordinate Voting Shares Classe A	Groupe CGI inc.	1	2021-09-30	38	108.44	150,000	50,000
CGI Inc.	Rights Performance Share Units	Hurlebaus, Timothy	5	2021-10-01	56	90.6	39,818	11,126
CGI Inc.	Rights Performance Share Units	Kamblad, John Anders	5	2021-10-01	56	114.46	12,614	5,032
CGI Inc.	Rights Performance Share Units	Labelle, Bernard	5	2021-10-01	56	114.46	11,894	3,932
CGI Inc.	Rights Performance Share Units	Lahteenmaa, Leena-Mari	5	2021-10-01	56	114.46	16,448	4,747
CGI Inc.	Rights Performance Share Units	Mango, Stephanie Anne	5	2021-10-01	56	90.6	15,613	6,192
CGI Inc.	Rights Performance Share Units	Mattackal, George Jacob	5	2021-10-01	56	114.46	15,527	3,798
CGI Inc.	Rights Performance Share Units	MCGEEHAN, TARA	5	2021-10-01	56	114.46	33,334	9,311



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CGI Inc.	Rights Performance Share Units	Schindler, George Donald	4, 5	2021-10-01	56	90.6		70,314
CGI Inc.	Rights Performance Share Units	Schindler, George Donald	4, 5	2021-10-01	56	90.6	272,007	70,314
CGI Inc.	Rights Performance Share Units	Strass, Torsten	5	2021-10-01	56	114.46	24,700	8,092
CGI Inc.	Rights Performance Share Units	Vigeant, Guy	5	2021-10-01	56	114.46	23,796	7,666
Chalice Brands Ltd. (Formerly, Golden Leaf Holdings Ltd.)	Rights RSUs	Varghese, John	4, 5	2018-06-29	00			
Chalice Brands Ltd. (Formerly, Golden Leaf Holdings Ltd.)	Rights RSUs	Varghese, John	4, 5	2021-10-01	56		92,000	92,000
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Common Shares	Antelman, Perry	5	2021-09-30	30	1.6717	745,618	3,014
Chartwell Retirement Residences	Deferred Units	Bastarache, Lise	4	2021-09-30	46	12.92	103,506	2,258
Chartwell Retirement Residences	Deferred Units	Binions, W. Brent	4	2021-09-30	46	12.92	17,159	2,859
Chartwell Retirement Residences	Rights Restricted Trust Units	Boulakia, Jonathan	5	2021-09-30	30	13.159	80,215	926
Chartwell Retirement Residences	Deferred Units	Davis, Virginia Ann	4	2021-09-30	46	12.92	28,570	3,675
Chartwell Retirement Residences	Deferred Units	Harris, Michael Deane	4	2021-09-30	46	12.92	348,615	5,088
Chartwell Retirement Residences	Rights Restricted Trust Units	Harris, Sheri Lynn	5	2021-09-30	30	13.159	80,928	934
Chartwell Retirement Residences	Deferred Units	Kuzmicki, Andre	7	2021-09-30	46	12.92	218,965	4,111
Chartwell Retirement Residences	Deferred Units	Sallows, Sharon	4	2021-09-30	46	12.92	174,498	4,853
Chartwell Retirement Residences	Deferred Units	Scarlett, James	4	2021-09-30	46	12.92	27,020	3,151
Chartwell Retirement Residences	Rights Restricted Trust Units	Sullivan, Karen Leslie	5	2021-09-30	30	13.159	93,413	1,078
Chartwell Retirement Residences	Deferred Units	Thomas, John Huw	4	2021-09-30	46	12.92	143,540	2,720
Chartwell Retirement Residences	Rights Restricted Trust Units	Volodarski, Vlad	4, 5	2021-09-30	30	13.159	171,572	1,981
Chemtrade Logistics Income Fund	Rights Deferred Trust Units	Di Clemente, Lucio	4	2021-09-30	56	7.25	96,753	2,844
Chemtrade Logistics Income Fund	Rights Deferred Trust Units	Dimitrov, Daniella Elena	4	2021-10-01	30	7.25	26,384	2,586
Chemtrade Logistics Income Fund	Rights Deferred Trust Units	Moore, Emily Louise	4	2021-09-30	56	7.25	57,984	5,517
Chemtrade Logistics Income Fund	Rights Deferred Trust Units	Muzyka, Douglas	7	2021-09-30	56	7.25	72,111	2,586
Chemtrade Logistics Income Fund	Rights Deferred Trust Units	Rethy, Katherine Anne	4	2021-09-30	56	7.25	91,158	2,844
Chemtrade Logistics Income Fund	Rights Deferred Trust Units	Waisberg, Lorie	4	2021-09-30	56	7.25	163,304	4,051
Choice Properties Real Estate Investment Trust	Trust Units	Dalglish, Camilla H.	7	2021-10-02	11		0	-20,000
Choice Properties Real Estate Investment Trust	Trust Units	Dalglish, Camilla H.	7	2021-10-02	11		0	-20,000
Chorus Aviation Inc.	Deferred Share Units	Cramm, Karen	4	2021-09-30	56	3.84	153,220	3,259
Chorus Aviation Inc.	Deferred Share Units	Falconer, Richard Douglas	4	2021-09-30	56	3.84	235,165	16,293
Chorus Aviation Inc.	Deferred Share Units	Hamilton, Gail	4	2021-09-30	56	3.84	7,696	4,024
Chorus Aviation Inc.	Deferred Share Units	Hannahs, R. Stephen	4	2021-09-30	56	3.84	118,942	7,598

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Chorus Aviation Inc.	Deferred Share Units	Isaacs, Sydney John	4, 7	2021-09-30	56	3.84	140,731	3,259
Chorus Aviation Inc.	Deferred Share Units	Jenkins, Alan	4	2021-09-30	56	3.84		4,823
Chorus Aviation Inc.	Deferred Share Units	Jenkins, Alan	4	2021-09-30	56	3.84	7,820	4,152
Chorus Aviation Inc.	Deferred Share Units	Kazzaz, Amos	4	2021-09-30	56	3.84	36,682	5,702
Chorus Aviation Inc.	Deferred Share Units	Morin, Marie-Lucie	4, 5	2021-09-30	56	3.84	63,351	4,350
Chorus Aviation Inc.	Deferred Share Units	Rivett, Paul	4	2021-09-30	56	3.84	11,404	5,963
Christina Lake Cannabis Corp.	Common Shares	Jones, Robert	5	2021-03-18	00		644,000	
Christina Lake Cannabis Corp.	Common Shares	Jones, Robert	5	2021-09-30	50		894,000	250,000
Christina Lake Cannabis Corp.	Options	Jones, Robert	5	2021-03-18	00		600,000	
Christina Lake Cannabis Corp.	Options Restricted Stock Unit	Jones, Robert	5	2021-03-18	00			
Christina Lake Cannabis Corp.	Options Restricted Stock Unit	Jones, Robert	5	2021-09-30	50	0.37	1,000,000	1,000,000
Christina Lake Cannabis Corp.	Options Restricted Stock Unit	Jones, Robert	5	2021-09-30	51		750,000	-250,000
CI Financial Corp.	Deferred Share Unit	Butt, William Emerson	4	2021-09-30	56		21,920	1,723
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-07	38	24.903	70,000	70,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-07	38		0	-70,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-08	38	24.823	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-08	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-09	38	25.011	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-09	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-10	38	25.192	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-10	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-13	38	25.41	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-13	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-14	38	26.179	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-14	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-15	38	26.223	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-15	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-16	38	26.628	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-16	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-17	38	26.787	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-17	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-20	38	25.918	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-20	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-21	38	26.042	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-21	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-22	38	25.985	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-22	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-23	38	26.099	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-23	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-24	38	26.379	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-24	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-27	38	26.439	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-27	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-28	38	25.842	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-28	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-29	38	25.878	100,000	100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-29	38		0	-100,000
CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-30	38	25.849	100,000	100,000

**Insider Reporting**

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CI Financial Corp.	Common Shares	CI Financial Corp.	1	2021-09-30	38		0	-100,000
CI Financial Corp.	Deferred Share Unit	Miller, David P.	4	2021-09-30	56		10,948	1,723
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-10-04	10	0.65	1,142,000	35,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-10-05	10	0.65	1,147,000	5,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2021-10-07	10	0.64	1,149,500	2,500
CIBT Education Group Inc.	Common Shares	Weir, Shane	4	2021-10-06	10	0.63	785,400	1,000
CIBT Education Group Inc.	Common Shares	Weir, Shane	4	2021-10-07	10	0.63	802,400	17,000
Cielo Waste Solutions Corp.	Common Shares Class A	Schafran, Lazar	4	2021-08-06	00			
Cielo Waste Solutions Corp.	Common Shares Class A	Schafran, Lazar	4	2021-10-04	10	0.306		50,000
Cielo Waste Solutions Corp.	Common Shares Class A	Schafran, Lazar	4	2021-10-04	10	0.306	50,000	50,000
Claritas Pharmaceuticals, Inc.	Common Shares	Salzman, Andrew	6	2021-08-10	10	0.4386	5,869,500	-30,500
Claritas Pharmaceuticals, Inc.	Common Shares	Salzman, Andrew	6	2021-08-11	10	0.4614	5,842,500	-27,000
Claritas Pharmaceuticals, Inc.	Common Shares	Salzman, Andrew	6	2021-08-16	10	0.451	5,810,000	-32,500
Claritas Pharmaceuticals, Inc.	Common Shares	Salzman, Andrew	6	2021-08-20	10	0.4584	5,690,500	-119,500
Clarke Inc.	Common Shares	Clarke Inc.	1	2021-09-01	38	8.5	1,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2021-09-20	38	8.65	2,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2021-09-27	38	8.65	3,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2021-09-30	38	8.41	4,000	1,000
Clarke Inc.	Common Shares	Clarke Inc.	1	2021-09-30	38		0	-4,000
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Convertible Debentures	Kaul, Robert Manson	5	2021-04-12	00			
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Convertible Debentures	Kaul, Robert Manson	5	2021-04-12	00			
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Convertible Debentures	Kaul, Robert Manson	5	2021-10-01	16		\$5,000	\$5,000
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Warrants	Kaul, Robert Manson	5	2021-04-12	00			
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Warrants	Kaul, Robert Manson	5	2021-04-12	00			
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Warrants	Kaul, Robert Manson	5	2021-04-12	00			
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Warrants	Kaul, Robert Manson	5	2021-10-01	16		7,150	7,150
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Common Shares	Miller, Brad Norman	4, 6	2021-10-05	10	0.226	7,567,773	10,000
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Convertible Debentures	Miller, Brad Norman	4, 6	2021-04-15	00			
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Convertible Debentures	Miller, Brad Norman	4, 6	2021-10-01	16	200	\$1,000	\$1,000
Cloud DX Inc. (formerly Roosevelt Capital Group Inc.)	Warrants	Miller, Brad Norman	4, 6	2021-10-04	16		486,000	286,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Options	Adams, Karen	5	2021-09-28	50	1.75		250,000

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Options	Adams, Karen	5	2021-09-28	50	1.75	400,000	150,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Rights Restricted Share Units	Adams, Karen	5	2021-09-28	56			250,000
CloudMD Software & Services Inc. (formerly Premier Health Group Inc.)	Rights Restricted Share Units	Adams, Karen	5	2021-09-28	56		305,000	150,000
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-01	38	116.27	4,100	4,100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-02	38	118.72	5,500	1,400
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-03	38	118.47	6,400	900
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-07	38	116.85	10,200	3,800
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-08	38	116.42	19,300	9,100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-09	38	115.4	24,700	5,400
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-10	38	115.12	26,900	2,200
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-13	38	114.8	28,600	1,700
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-14	38	114.96	33,600	5,000
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-15	38	114.57	36,600	3,000
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-16	38	115.06	41,100	4,500
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-17	38	114.74	43,700	2,600
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-20	38	113.58	47,000	3,300
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-21	38	114.18	49,200	2,200
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes α droit de vote	Cogeco Communications Inc.	1	2021-09-22	38	114.15	50,700	1,500

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2021-09-23	38	113.7	54,600	3,900
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2021-09-24	38	113.46	56,000	1,400
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2021-09-27	38	113.49	60,100	4,100
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2021-09-28	38	114.5	65,500	5,400
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2021-09-29	38	114.51	68,000	2,500
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2021-09-30	38	113.1	71,600	3,600
Cogeco Communications Inc.	Subordinate Voting Shares actions subalternes à droit de vote	Cogeco Communications Inc.	1	2021-09-30	38		0	-71,600
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-01	38	1.8383	36,900	11,900
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-02	38	1.8577	43,500	6,600
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-03	38	1.8887	55,900	12,400
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-07	38	1.9	62,400	6,500
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-08	38	1.89	74,900	12,500
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-09	38	1.8918	87,400	12,500
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-10	38	1.8921	94,100	6,700
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-13	38	1.97	97,000	2,900
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-14	38	1.9182	107,400	10,400
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-15	38	1.88	108,400	1,000
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-16	38	1.929	120,900	12,500
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-17	38	1.84	127,500	6,600
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-20	38	1.7421	140,000	12,500
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-21	38	1.7102	151,000	11,000
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-22	38	1.7981	163,500	12,500
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-23	38	1.8179	167,400	3,900
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-24	38	1.7993	178,620	11,220
Conifex Timber Inc.	Common Shares	Conifex Timber Inc.	1	2021-09-28	38		0	-178,620
Consolidated Firstfund Capital Corp.	Common Shares	Grant, William Douglas	4, 5	2021-10-07	10	0.43	34,500	500
CordovaCann Corp. (formerly LiveReel Media Corporation)	Common Shares	Higham, Benjamin Thomas	4	2020-05-20	00		1,973,831	
CordovaCann Corp. (formerly LiveReel Media Corporation)	Options	Higham, Benjamin Thomas	4	2020-05-20	00		1,500,000	
CordovaCann Corp. (formerly LiveReel Media Corporation)	Warrants	Higham, Benjamin Thomas	4	2020-05-20	00		3,000,000	
Core Assets Corp.	Common Shares	Rodway, Nicholas Richard	4	2021-10-06	10	0.26	5,125,500	5,000
Corsa Coal Corp.	Common Shares	Sev.en Energy AG	3	2021-10-04	10	0.8417	10,455,511	-483,000
Corsa Coal Corp.	Common Shares	Zebra Holdings and Investments S.a.r.l.	3	2021-10-06	10	1.0348	7,412,433	-133,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Cover Technologies Inc. (formerly Mag One Products Inc.)	Options	Banks, Dorian	4, 5	2021-08-16	00			
Cover Technologies Inc. (formerly Mag One Products Inc.)	Options	Banks, Dorian	4, 5	2021-09-24	50	0.65	75,000	75,000
Crescent Point Energy Corp.	Common Shares	Cillis, Laura Ann	4	2021-10-01	57		31,642	21,269
Crescent Point Energy Corp.	Common Shares	Cillis, Laura Ann	4	2021-10-01	97		21,431	-10,211
Crescent Point Energy Corp.	Restricted Share Units	Cillis, Laura Ann	4	2021-10-01	56		131,059	12,500
Crescent Point Energy Corp.	Restricted Share Units	Cillis, Laura Ann	4	2021-10-01	57		109,790	-21,269
Crescent Point Energy Corp.	Deferred Share Units	Craddock, James Elbert	4	2021-10-01	56		157,961	12,500
Crescent Point Energy Corp.	Deferred Share Units	Dielwart, John Patrick	4	2021-10-01	56		221,470	15,472
Crescent Point Energy Corp.	Deferred Share Units	Goldthorpe, Edward	4	2021-10-01	56		212,426	12,500
Crescent Point Energy Corp.	Common Shares	Gritzfeldt, Ryan Chad Raymond	5	2021-10-01	57		271,411	93
Crescent Point Energy Corp.	Common Shares	Gritzfeldt, Ryan Chad Raymond	5	2021-10-01	97		271,366	-45
Crescent Point Energy Corp.	Restricted Share Units	Gritzfeldt, Ryan Chad Raymond	5	2021-10-01	57		260,134	-93
Crescent Point Energy Corp.	Common Shares	Holt, William Garret	5	2021-10-01	57		45,333	10,450
Crescent Point Energy Corp.	Common Shares	Holt, William Garret	5	2021-10-01	97		40,317	-5,016
Crescent Point Energy Corp.	Restricted Share Units	Holt, William Garret	5	2021-10-01	57		192,211	-10,450
Crescent Point Energy Corp.	Common Shares	Jackson, Michael Sidney	4	2021-10-01	57		78,604	2,823
Crescent Point Energy Corp.	Common Shares	Jackson, Michael Sidney	4	2021-10-01	97		77,248	-1,356
Crescent Point Energy Corp.	Deferred Share Units	Jackson, Michael Sidney	4	2021-10-01	56		203,181	12,500
Crescent Point Energy Corp.	Restricted Share Units	Jackson, Michael Sidney	4	2021-10-01	57		0	-2,823
Crescent Point Energy Corp.	Deferred Share Units	Koury, Jennifer	4	2021-10-01	56		184,849	12,500
Crescent Point Energy Corp.	Common Shares	Langlois, Francois	4	2021-10-01	57		2,013	987
Crescent Point Energy Corp.	Common Shares	Langlois, Francois	4	2021-10-01	97		1,539	-474
Crescent Point Energy Corp.	Deferred Share Units	Langlois, Francois	4	2021-10-01	56		249,849	15,961
Crescent Point Energy Corp.	Restricted Share Units	Langlois, Francois	4	2021-10-01	57		0	-987
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	2021-10-01	57		35,781	15,061
Crescent Point Energy Corp.	Common Shares	Munroe, Barbara Elaine	4	2021-10-01	97		28,551	-7,230
Crescent Point Energy Corp.	Deferred Share Units	Munroe, Barbara Elaine	4	2021-10-01	56		219,227	8,522
Crescent Point Energy Corp.	Restricted Share Units	Munroe, Barbara Elaine	4	2021-10-01	56		121,512	13,111
Crescent Point Energy Corp.	Restricted Share Units	Munroe, Barbara Elaine	4	2021-10-01	57		106,451	-15,061
Crescent Point Energy Corp.	Deferred Share Units	Stadnyk, Myron Maurice	4	2021-10-01	56		93,094	15,559

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Crombie Real Estate Investment Trust	Rights Restricted Units	Barnoski, John Thomas	5	2021-09-30	30	16.46	27,286	327
Crombie Real Estate Investment Trust	Rights Restricted Units	Barnoski, John Thomas	5	2021-09-30	59	17.882	19,056	-8,230
Crombie Real Estate Investment Trust	Rights Restricted Units	Bitton, Arie Lior	5	2021-09-30	30	16.46	27,118	251
Crombie Real Estate Investment Trust	Rights Restricted Units	Bitton, Arie Lior	5	2021-09-30	59	17.882	20,806	-6,312
Crombie Real Estate Investment Trust	Rights Deferred Units	Clow, Donald Everett	4, 5	2021-09-30	36		378,972	50,561
Crombie Real Estate Investment Trust	Rights Restricted Units	Clow, Donald Everett	4, 5	2021-09-30	36		78,768	-50,561
Crombie Real Estate Investment Trust	Rights Restricted Units	Clow, Donald Everett	4, 5	2021-09-30	30	16.46	80,775	2,007
Crombie Real Estate Investment Trust	Rights Restricted Units	Fraser, Cheryl Ann	5	2021-09-30	30	16.46	21,765	366
Crombie Real Estate Investment Trust	Rights Restricted Units	Fraser, Cheryl Ann	5	2021-09-30	59	17.882	12,537	-9,228
Crombie Real Estate Investment Trust	Rights Restricted Units	Hynes, Robert Glenn	5	2021-09-30	30	16.46	71,714	1,069
Crombie Real Estate Investment Trust	Rights Restricted Units	Hynes, Robert Glenn	5	2021-09-30	59	17.882	44,771	-26,943
Crombie Real Estate Investment Trust	Rights Deferred Units	Lee, Trevor Roger	5	2021-09-30	36		35,334	7,820
Crombie Real Estate Investment Trust	Rights Restricted Units	Lee, Trevor Roger	5	2021-09-30	36		12,402	-7,820
Crombie Real Estate Investment Trust	Rights Restricted Units	Lee, Trevor Roger	5	2021-09-30	30	16.46	12,712	310
Crombie Real Estate Investment Trust	Rights Deferred Units	Santini, Ferdinando	5	2021-09-30	36		11,692	2,237
Crombie Real Estate Investment Trust	Rights Restricted Units	Santini, Ferdinando	5	2021-09-30	36		10,361	-2,237
Crombie Real Estate Investment Trust	Rights Restricted Units	Santini, Ferdinando	5	2021-09-30	30	16.46	10,558	197
Crombie Real Estate Investment Trust	Rights Restricted Units	Santini, Ferdinando	5	2021-09-30	59	17.882	7,824	-2,734
Cronos Group Inc.	Common Shares	JACOBSON, JEFFREY DAVID	5	2021-10-01	51	1.23	120,000	120,000
Cronos Group Inc.	Common Shares	JACOBSON, JEFFREY DAVID	5	2021-10-01	51	0.7886	79,186	-40,814
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-10-04	10	0.13	555,000	5,000
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-10-04	10	0.13		10,000
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-10-04	10	0.13	560,000	5,000
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-10-05	10	0.125	570,000	10,000
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-10-05	10	0.13	573,500	3,500
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-10-07	10	0.13	578,500	5,000
Cross River Ventures Corp.	Common Shares	Klenman, Alexander	4, 5	2021-10-08	10	0.13	585,000	6,500
CT Real Estate Investment Trust	Deferred Units	Briant, Heather	4	2021-09-30	56	17.5	20,760	1,185
CT Real Estate Investment Trust	Deferred Units	Laidley, David Howard	4	2021-09-30	56	17.5	83,080	1,664
CT Real Estate Investment Trust	Deferred Units	Martini, Anna	4	2021-09-30	56	17.5	62,201	1,271
CT Real Estate Investment Trust	Deferred Units	O'Bryan, John Charles	4	2021-09-30	56	17.5	50,223	1,200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
CT Real Estate Investment Trust	Deferred Units	Smith, Kelly Lynne	4	2021-09-30	56	17.5	6,614	1,042
Cymat Technologies Ltd.	Common Shares	Gill, Jon David	4	2021-10-05	51		352,200	175,000
Cymat Technologies Ltd.	Options	Gill, Jon David	4	2021-10-05	51		175,000	-75,000
Cymat Technologies Ltd.	Options	Gill, Jon David	4	2021-10-05	51		125,000	-50,000
Cymat Technologies Ltd.	Options	Gill, Jon David	4	2021-10-05	51		75,000	-50,000
Cymbria Corporation	Non-Voting Shares Class A Shares	MacDonald, Geoff	6, 5	2021-07-20	10	64		-1,000
Cymbria Corporation	Non-Voting Shares Class A Shares	MacDonald, Geoff	6, 5	2021-07-23	10	64.79		-1,000
Cymbria Corporation	Non-Voting Shares Class A Shares	MacDonald, Geoff	6, 5	2021-07-20	10	64	5,700	-1,000
Cymbria Corporation	Non-Voting Shares Class A Shares	MacDonald, Geoff	6, 5	2021-07-23	10	64.79	4,700	-1,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-09-30	10	0.1499	30,625,167	250,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-09-30	10	0.15	30,629,667	4,500
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-10-01	10	0.1632	30,875,167	245,500
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-10-01	10	0.17	30,934,667	59,500
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-10-04	10	0.17	31,461,667	527,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-10-05	10	0.1857	32,875,167	1,413,500
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-10-06	10	0.2	33,047,167	172,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2021-10-07	10	0.2	33,875,167	828,000
Cypherpunk Holdings Inc.	Options	Wald, Leah Katherine	4	2021-10-07	00		1,000,000	
DATA Communications Management Corp.	Common Shares	Cochrane, Gregory James	4	2021-10-06	10	1.03	1,816,079	5,000
DATA Communications Management Corp.	Common Shares	Kellam, Richard Clarence	4, 5	2021-10-01	10	1	715,600	10,000
Decibel Cannabis Company Inc.	Common Shares	Church, Cody	4	2021-10-07	10	0.2	3,215,409	500,000
Decibel Cannabis Company Inc.	Common Shares	Newell, Kristopher	5	2021-09-29	10	0.2	364,970	14,970
Decibel Cannabis Company Inc.	Common Shares	Newell, Kristopher	5	2021-10-04	10	0.2	380,000	15,030
Decibel Cannabis Company Inc.	Common Shares	Newell, Kristopher	5	2021-10-04	10	215	403,250	23,250
Decibel Cannabis Company Inc.	Common Shares	sider, derek	2	2021-10-01	10	0.2	514,600	34,900
Decibel Cannabis Company Inc.	Common Shares	sider, derek	2	2021-10-05	10	0.21	550,600	36,000
Decibel Cannabis Company Inc.	Common Shares	wilson, paul	4	2021-09-30	10	0.208		474,000
Decibel Cannabis Company Inc.	Common Shares	wilson, paul	4	2021-09-30	10	0.208	2,010,476	475,000
Decklar Resources Inc.	Options	Halpin, David John	7	2021-07-30	50	1	750,000	300,000
Delta CleanTech Inc.	Options	Kaushal, Nitin	4	2021-09-13	00		400,000	
dentalcorp Holdings Ltd.	Deferred Share Units	Mowbray, Stacey	4	2021-09-30	56	17.563	1,726	1,435
dentalcorp Holdings Ltd.	Deferred Share Units	Shah, Rajan	4	2021-09-30	56	17.563	2,016	1,435
dentalcorp Holdings Ltd.	Deferred Share Units	TAUB, ANDREW CRAIG	4	2021-09-30	56	17.563	2,016	1,435
dentalcorp Holdings Ltd.	Deferred Share Units	Volpacchio, Gino	4	2021-09-30	56	17.563	2,016	1,435
dentalcorp Holdings Ltd.	Deferred Share Units	Wolf, Robert Thomas	4	2021-09-30	56	17.563	2,521	1,794
Deveron Corp. (formerly, Deveron UAS Corp.)	Common Shares	Dent, Roger	4	2021-10-07	54	0.2	734,000	125,000
Deveron Corp. (formerly, Deveron UAS Corp.)	Options	Dent, Roger	4	2021-10-07	54	0.2	125,000	-125,000
Diagnos Inc.	Common Shares	Massue, Marc-Andr�	5	2021-10-04	10	0.5	70,000	-5,000
Diagnos Inc.	Common Shares	Massue, Marc-Andr�	5	2021-10-05	10	0.5	60,000	-10,000
Diagnos Inc.	Common Shares	Massue, Marc-Andr�	5	2021-10-06	10	0.5	55,000	-5,000



**Insider Reporting**

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Diamond Estates Wines & Spirits Inc.	Common Shares	Lassonde Industries Inc.	3	2021-10-06	36		45,131,732	6,652,785
Diamond Estates Wines & Spirits Inc.	Common Shares	Lassonde Industries Inc.	3	2021-10-06	11	0.18	53,465,065	8,333,333
Diamond Estates Wines & Spirits Inc.	Convertible Debentures	Lassonde Industries Inc.	3	2021-10-06	36		\$0	-\$1,160,000
Diamond Estates Wines & Spirits Inc.	Warrants	Lassonde Industries Inc.	3	2019-07-29	00			
Diamond Estates Wines & Spirits Inc.	Warrants	Lassonde Industries Inc.	3	2021-10-06	36		4,989,589	4,989,589
Diamond Estates Wines & Spirits Inc.	Warrants	Lassonde Industries Inc.	3	2021-10-06	11	0.22	11,239,589	6,250,000
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2021-10-04	38	12.875	759,200	1,200
DIRTT Environmental Solutions Ltd.	Rights Deferred Share Units	Ford, Michael Terrell	4	2021-09-30	56	3.1576	23,100	4,256
DIRTT Environmental Solutions Ltd.	Rights Deferred Share Units	Karkkainen, Denise Eileen	4	2021-09-30	56	3.1576	72,988	4,849
DIRTT Environmental Solutions Ltd.	Rights Deferred Share Units	King, Shauna Ryan	4	2021-09-30	56	3.1576	24,709	4,552
DIRTT Environmental Solutions Ltd.	Rights Deferred Share Units	Lillibridge, Todd	4	2021-09-30	56	3.1576	64,670	5,802
DIRTT Environmental Solutions Ltd.	Rights Deferred Share Units	Lynch, James Anthony	4	2021-09-30	56	3.1576	8,099	4,256
DIRTT Environmental Solutions Ltd.	Rights Deferred Share Units	Parry, Steven Elliott	4	2021-09-30	56	3.1576	103,655	4,331
DIRTT Environmental Solutions Ltd.	Rights Deferred Share Units	Rhoten, Diana Russell	4	2021-09-30	56	3.1576	8,268	4,514
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-13	38	55.376	246,600	246,600
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-14	38	56.064	495,500	248,900
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-16	38	55.973	829,922	334,422
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-17	38	55.972	938,532	108,610
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-20	38	56.023	1,082,132	143,600
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-21	38	56.673	1,231,432	149,300
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-22	38	57.386	1,380,332	148,900
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-23	38	58.1	1,670,332	290,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-27	38	57.093	2,370,332	700,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-28	38	55.854	2,531,332	161,000
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-29	38	55.544	2,693,331	161,999
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-30	38	55.27	2,856,167	162,836
Dollarama Inc.	Common Shares	Dollarama Inc.	1	2021-09-30	38		0	-2,856,167
Dollarama Inc.	Common Shares	Gunn, Stephen	4	2021-10-06	51	6.295	111,154	12,000
Dollarama Inc.	Common Shares	Gunn, Stephen	4	2021-10-06	10	54.23	106,240	-4,914
Dollarama Inc.	Options	Gunn, Stephen	4	2021-10-06	51	6.295	36,000	-12,000
Dominion Lending Centres Inc. Centres Hypothecaires Dominion Inc.	Common Shares Class A	Dominion Lending Centres Inc.	1	2021-10-04	10	3.18	135,300	4,700
Dominion Lending Centres Inc. Centres Hypothecaires Dominion Inc.	Common Shares Class A	Dominion Lending Centres Inc.	1	2021-10-05	10	3.239	138,700	3,400
Dominion Lending Centres Inc. Centres Hypothecaires Dominion Inc.	Common Shares Class A	Dominion Lending Centres Inc.	1	2021-10-06	10	3.239	144,600	5,900
Dominion Lending Centres Inc. Centres Hypothecaires Dominion Inc.	Common Shares Class A	Dominion Lending Centres Inc.	1	2021-10-07	10	3.195	147,500	2,900
Dore Copper Mining Corp.	Common Shares	Stifano, Mario	4, 5	2021-10-06	10	0.76	2,813,750	6,750
Draganfly Inc.	Options	Wood, Julie Myers	4	2021-09-09	00		55,826	
Draganfly Inc.	Restricted Share Units	Wood, Julie Myers	4	2021-09-09	00		25,826	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Deferred Trust Units	Bhalla, Amar	4	2021-09-30	56	6.25	99,937	3,198
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-01	38	6.74	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-02	38	6.6946	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-03	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-03	38	6.6998	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-07	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-07	38	6.698	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-08	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-08	38	6.6628	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-09	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-09	38	6.648	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-10	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-10	38	6.582	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-13	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-13	38	6.6052	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-14	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-14	38	6.5985	8,300	3,300
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-15	38		3,300	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-16	38		0	-3,300
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-17	38	6.4942	4,500	4,500
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-20	38	6.3836	9,500	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-21	38		5,000	-4,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-21	38	6.42	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-22	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-22	38	6.4348	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-23	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-23	38	6.4592	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-24	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-24	38	6.4136	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-27	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-27	38	6.332	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-28	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-28	38	6.2462	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-29	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-29	38	6.2136	10,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-09-30	38	6.2016	15,000	5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-10-01	38		10,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-10-04	38		5,000	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Units	Dream Impact Trust	1	2021-10-04	38		0	-5,000
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Deferred Trust Units	Ferstman, Joanne Shari	7	2021-09-30	56	6.25	126,109	1,999
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Deferred Trust Units	MacIndoe, Karine	4	2021-09-30	56	6.25	60,896	2,199
Dream Impact Trust (formerly Dream Hard Asset Alternatives Trust)	Deferred Trust Units	Tsourounis, Michael George	4	2021-09-30	56	6.25	36,935	1,799
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Bhatia, Rajan Sacha	4	2021-09-30	56	16.39	16,814	610
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Mulroney, Benedict Martin Paul	4	2021-09-30	56	16.39	61,352	763
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Schiff, Vicky Lee	4	2021-09-30	56	16.39	3,306	763

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Sera, Maria Vincenza	4, 7	2021-09-30	56	16.39	189,862	1,220
Dream Industrial Real Estate Investment Trust	Deferred Trust Units	Wiseman, Sheldon	4	2021-09-30	56	16.39	102,166	915
Dream Office Real Estate Investment Trust	Rights deferred trust units	BIERBAUM, DETLEF	4	2021-09-30	56	23.04	20,730	477
Dream Office Real Estate Investment Trust	Rights deferred trust units	Charter, Donald Kinloch	4, 6	2021-09-30	56	23.04	92,541	1,302
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-01	38	23.454	74,758	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-02	38	23.333	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-03	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-03	38	23.318	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-07	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-07	38	23.188	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-08	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-08	38	23.19	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-09	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-09	38	23.188	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-10	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-10	38	23.019	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-13	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-13	38	23.102	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-14	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-14	38	22.984	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-15	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-15	38	23.066	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-16	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-16	38	23.336	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-17	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-17	38	23.446	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-20	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-20	38	22.846	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-21	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-21	38	23.064	69,258	30,679
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-22	38		30,679	-38,579

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-22	38	23.388	69,258	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-23	38		38,579	-30,679
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-23	38	23.383	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-24	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-24	38	23.243	73,058	34,479
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-27	38		34,479	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-27	38	23.199	73,058	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-28	38		38,579	-34,479
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-28	38	23.031	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-29	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-29	38	23.127	77,158	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-09-30	38	22.979	115,737	38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-10-01	38		77,158	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-10-04	38		38,579	-38,579
Dream Office Real Estate Investment Trust	Trust Units Series A	Dream Office Real Estate Investment Trust	1	2021-10-04	38		0	-38,579
Dream Office Real Estate Investment Trust	Rights deferred trust units	GOODALL, ROBERT	4	2021-09-30	56	23.04	92,363	716
Dream Office Real Estate Investment Trust	Rights deferred trust units	Leitch, Kellie	4	2021-09-30	56	23.04	2,268	597
Dream Office Real Estate Investment Trust	Rights deferred trust units	MacIndoe, Karine	4	2021-09-30	56	23.04	48,226	933
Dream Office Real Estate Investment Trust	Rights deferred trust units	Tang, Qi	4	2021-09-30	56	23.04	3,822	651
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-21	38	27.419	19,623	19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-22	38	27.901	39,246	19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-23	38		19,623	-19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-23	38	27.834	39,246	19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-24	38		19,623	-19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-24	38	27.434	33,046	13,423
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-27	38		13,423	-19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-27	38	27.641	33,046	19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-28	38		19,623	-13,423
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-28	38	27.857	39,246	19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-29	38		19,623	-19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-29	38	28.02	39,246	19,623

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-09-30	38	28.076	58,869	19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-10-01	38		39,246	-19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-10-04	38		19,623	-19,623
DREAM Unlimited Corp.	Subordinate Voting Shares Class A	DREAM Unlimited Corp.	1	2021-10-04	38		0	-19,623
DREAM Unlimited Corp.	Deferred Share Units	Eaton, James George	4	2021-09-30	56	27.8	19,812	450
DREAM Unlimited Corp.	Deferred Share Units	Ferstman, Joanne Shari	4	2021-09-30	56	27.8	77,651	1,412
DREAM Unlimited Corp.	Deferred Share Units	Gateman, Richard N.	4, 7	2021-09-30	56	27.8	45,079	603
DREAM Unlimited Corp.	Deferred Share Units	Jackman, Duncan Newton Rowell	4	2021-09-30	56	27.8	25,478	450
DREAM Unlimited Corp.	Deferred Share Units	Koss, Jennifer	4	2021-09-30	56	27.8	43,712	603
DREAM Unlimited Corp.	Deferred Share Units	Sera, Maria Vincenza	4, 7	2021-09-30	56	27.8	48,557	701
DRI Healthcare Trust	Trust Units	Anastasopoulos, Chris	5	2021-02-10	00			
DRI Healthcare Trust	Trust Units	Anastasopoulos, Chris	5	2021-10-01	30	8.09	2,584	2,584
Dundee Precious Metals Inc.	Rights Deferred Share Units	Donovan, Jaimie	4	2021-10-01	56	7.4	18,667	5,155
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-10	38		229,500	-48,000
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-10	38		155,000	-74,500
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-10	38		80,800	-74,200
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-10	10	7.59	107,300	26,500
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-16	10	7.92	227,200	119,900
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-17	38		146,400	-80,800
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-17	38		119,900	-26,500
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-17	10	7.83	161,700	41,800
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-20	10	7.84	213,200	51,500
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-21	10	7.95	219,500	6,300
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-22	10	7.96	254,100	34,600
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-23	10	7.88	350,200	96,100
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-24	38		230,300	-119,900
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-24	38		188,500	-41,800
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-24	38		137,000	-51,500
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-24	38		130,700	-6,300
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-24	38		96,100	-34,600
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-24	10	7.85	98,200	2,100
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-28	10	7.66	145,600	47,400
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-29	38		49,500	-96,100
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-29	38		47,400	-2,100

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-09-29	10	7.52	106,400	59,000
Dundee Precious Metals Inc.	Common Shares	Dundee Precious Metals Inc.	1	2021-10-01	38		59,000	-47,400
Dundee Precious Metals Inc.	Rights Deferred Share Units	Goodman, Jonathan Carter	4	2021-10-01	56	7.4	636,378	4,751
Dundee Precious Metals Inc.	Rights Deferred Share Units	Madhavpeddi, Kalidas	4	2021-10-01	56	7.4	12,009	5,762
Dundee Precious Metals Inc.	Rights Deferred Share Units	Walsh, Anthony P.	4	2021-10-01	56	7.4	211,859	3,719
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Payne, Murray Ernest James	4	2021-09-30	10	0.23	5,011,178	10,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Payne, Murray Ernest James	4	2021-10-04	10	0.22	5,031,178	20,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Payne, Murray Ernest James	4	2021-10-05	10	0.22	5,038,678	7,500
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Payne, Murray Ernest James	4	2021-10-05	10	0.215	5,046,178	7,500
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Payne, Murray Ernest James	4	2021-10-06	10	0.21	5,056,178	10,000
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-28	38	2.78	4,500	4,500
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-28	38	2.73	4,519	19
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-28	38	2.75	10,919	6,400
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-28	38		0	-10,919
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-29	38	2.77	19	19
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-29	38	2.76	5,519	5,500
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-29	38	2.74	10,719	5,200
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-29	38	2.75	10,919	200
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-29	38		0	-10,919
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.8	100	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.81	419	319
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.8	519	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.79	619	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.785	719	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.78	1,519	800
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.77	1,619	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.76	6,219	4,600
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	47	2.755	6,419	200
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38	2.75	6,519	100
Dynacor Gold Mines Inc.	Common Shares	Mines d'Or Dynacor inc.	1	2021-09-30	38		0	-6,519
E2Gold Inc.	Options	Pietrzak-Renaud, Natalie Jane	5	2021-01-04	00			
E2Gold Inc.	Options	Pietrzak-Renaud, Natalie Jane	5	2021-08-17	50		600,000	600,000
E3 Metals Corp.	Common Shares	Chow, Raymond	5	2021-07-01	00			
E3 Metals Corp.	Common Shares	Chow, Raymond	5	2021-07-01	00			
E3 Metals Corp.	Common Shares	Chow, Raymond	5	2021-07-01	00			
E3 Metals Corp.	Common Shares	Chow, Raymond	5	2021-10-07	10	1.85	20,000	20,000
Eastwood Bio-Medical Canada Inc.	Common Shares	Kim, Yunji	5	2021-09-27	10	1.47	3,600	100
Eastwood Bio-Medical Canada Inc.	Common Shares	Kim, Yunji	5	2021-10-04	10	1.75	4,400	100

**Insider Reporting**

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Eat Well Investment Group Inc.	Common Shares	Eat Well Investment Group Inc.	1	2021-10-04	38	0.79	215,000	10,000
Eat Well Investment Group Inc.	Common Shares	Eat Well Investment Group Inc.	1	2021-10-06	38	0.78	225,000	10,000
Eat Well Investment Group Inc.	Common Shares	Eat Well Investment Group Inc.	1	2021-10-06	38	0.77	231,500	6,500
Eat Well Investment Group Inc.	Common Shares	Eat Well Investment Group Inc.	1	2021-10-07	38	0.81	241,500	10,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-09-29	10	10.469	335,400	161,100
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-09-30	10	10.47	420,400	85,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-09-30	10	10.47	433,400	13,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-09-30	10	10.385	11,822,154	-98,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2021-09-30	10	10.42	11,661,054	-161,100
ECN Capital Corp.	Options	Morris, David Dyson	4	2021-09-25	59	10.57	0	-100,000
Eguana Technologies Inc.	Options	Hayward, Karen Elen	4	2021-07-28	00			
Eguana Technologies Inc.	Options	Hayward, Karen Elen	4	2021-10-07	50	0.4	100,000	100,000
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2021-10-06	30	10.409	2,239	52
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2021-10-06	30	10.409	5,542	124
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2021-10-06	30	10.409	31,410	408
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2021-10-06	30	10.409	9,725	125
Eldorado Gold Corporation	Common Shares	Ferneyhough, Paul Anthony	5	2021-10-06	30	10.409	765	123
Eldorado Gold Corporation	Common Shares	Gill, Brock	5	2021-10-06	30	10.409	1,579	148
Eldorado Gold Corporation	Common Shares	HILLE, SIMON OSWALD	5	2021-10-06	30	10.409	2,288	214
Eldorado Gold Corporation	Common Shares	Wilkinson, Lisa	5	2021-05-10	00			
Eldorado Gold Corporation	Common Shares	Wilkinson, Lisa	5	2021-09-16	30	14.257	88	88
Eldorado Gold Corporation	Common Shares	Wilkinson, Lisa	5	2021-10-06	30	10.409	175	87
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2021-10-06	30	10.409	5,703	125
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-01	38	14.052		5,600
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-01	38	14.052		5,600
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-01	38	14.052	50,600	50,600
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-01	38		0	-50,600
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-02	38	14.389	49,400	49,400
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-02	38		0	-49,400
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-03	38	14.396	49,400	49,400
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-03	38		0	-49,400
Element Fleet Management Corp.	Common Shares	Element Fleet Management Corp.	1	2021-09-07	38	14.237	50,000	50,000



**Insider Reporting**

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(formerly Element Financial Corporation)								
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-07	38		0	-50,000
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-08	38	14.137	50,300	50,300
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-08	38		0	-50,300
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-09	38	14.148	50,300	50,300
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-09	38	14.148	0	-50,300
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-10	38	14.036	50,700	50,700
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-10	38		0	-50,700
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-13	38	13.971	50,900	50,900
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-13	38		0	-50,900
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-14	38	13.831	51,100	51,100
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-14	38		0	-51,100
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-15	38	13.806	51,500	51,500
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-15	38		0	-51,500
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-16	38	13.687	52,100	52,100
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-16	38		0	-52,100
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-17	38	13.266	228,698	228,698
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-17	38		0	-228,698

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-20	38	13.075	295,298	295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-20	38		0	-295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-21	38	13.236	295,298	295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-21	38		0	-295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-22	38	13.394	295,298	295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-22	38		0	-295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-23	38	13.279	295,298	295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-23	38		0	-295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-24	38	12.98	295,298	295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-24	38		0	-295,298
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-27	38	12.807	39,000	39,000
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-27	38		0	-39,000
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-28	38	12.606	39,600	39,600
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-28	38		0	-39,600
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-29	38	12.726	39,300	39,300
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-29	38		0	-39,300
Element Fleet Management Corp. (formerly Element Financial Corporation)	Common Shares	Element Fleet Management Corp.	1	2021-09-30	38	12.78	39,200	39,200
Element Fleet Management Corp.	Common Shares	Element Fleet Management Corp.	1	2021-09-30	38		0	-39,200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
(formerly Element Financial Corporation)								
Elemental Royalties Corp.	Common Shares	Turenne, Martin Emery Joseph	4	2021-10-05	10	1.33	73,956	5,000
Elevation Gold Mining Corporation	Common Shares	BARDSWICH, LLOYD JOSEPH	4	2021-09-24	37		136,111	-680,554
Elevation Gold Mining Corporation	Common Shares	BARDSWICH, LLOYD JOSEPH	4	2021-09-24	37		47,778	-238,890
Elevation Gold Mining Corporation	Options	BARDSWICH, LLOYD JOSEPH	4	2021-09-24	37		91,667	-458,333
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-09-01	38	0.015	4,543,000	500,000
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-09-02	38	0.01	5,111,000	568,000
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-09-03	38	0.01	1,074,000	6,000
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-09-09	38	0.0149	2,507,000	1,433,000
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-09-13	38	0.01	2,517,000	10,000
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-09-14	38	0.01	2,617,000	100,000
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-09-20	38	0.015	3,517,000	900,000
Elixer Ltd.	Common Shares	Elixer Ltd.	1	2021-10-05	38		0	-3,517,000
Emera Incorporated	DSU	Eisenhauer, James Daniel	7	2021-09-30	30	59.15		640
Emera Incorporated	DSU	Eisenhauer, James Daniel	7	2021-09-30	30	59.15	68,305	80
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-01	38	40.5	5,800	5,800
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-01	38		0	-5,800
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-02	38	40.335	15,000	15,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-02	38		0	-15,000
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-03	38	40.09	18,900	18,900
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-03	38		0	-18,900
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-07	38	40.012	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-07	38		0	-22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-08	38	39.856	21,900	21,900
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-08	38		0	-21,900
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-09	38	38.966	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-09	38		0	-22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-10	38	39.282	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-10	38		0	-22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-13	38	38.866	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-13	38		0	-22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-14	38	38.567	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-14	38		0	-22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-15	38	38.373	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-15	38		0	-22,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-16	38	38.808	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-16	38		0	-22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-17	38	38.401	22,500	22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-17	38		0	-22,500
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-20	38	38.335	13,717	13,717
Empire Company Limited	Non-Voting Shares Class A	Empire Company Limited	1	2021-09-20	38		0	-13,717
Enerdynamic Hybrid Technologies Corp.	Common Shares	Woolford, David	4	2021-10-06	10	0.325	1,074,353	5,000
Enerdynamic Hybrid Technologies Corp.	Common Shares	Woolford, David	4	2021-10-07	10	0.32	1,077,353	3,000
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Assing, Fernando Rafael	4	2021-09-30	46	9.14	30,387	5,732
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Boswell, Robert Stephen	4	2021-09-30	46	9.14	68,159	4,547
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Cormier Jackson, Maureen Ellen	4	2021-09-30	46	9.14	85,121	4,094
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Dunn, William Byron	4	2021-09-30	46	9.14	161,081	6,185
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Marshall, H. Stanley	4	2021-09-30	46	9.14	122,723	2,735
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Reinhart, Kevin Jerome	4	2021-09-30	46	9.14	96,596	5,907
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Savidant, Stephen James	4	2021-09-30	46	9.14	250,422	8,504
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Villegas, Juan Carlos	4	2021-09-30	46	9.14	62,705	5,732
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	Weill, Michael	4	2021-09-30	46	9.14	80,170	2,735
Enerflex Ltd.	Rights Deferred Share Units (cash settled)	WESLEY, HELEN JUNE	4	2021-09-30	46	9.14	126,929	2,735
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-01	38	7.3715	506,550	150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-02	38	7.7337	606,550	100,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-03	38	7.6715	756,550	150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-07	38	7.7081	856,550	100,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-08	38	7.5049	1,006,550	150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-09	38	7.4321	1,156,550	150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-10	38	7.5113	1,256,550	100,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-13	38	7.906	1,291,550	35,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-14	38	7.8517	1,326,550	35,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-15	38	8.1975	1,356,550	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-16	38	8.2182	1,386,550	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-17	38	8.2046	1,416,550	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-20	38	7.7853	1,451,550	35,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-21	38	7.8557	1,486,550	35,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-22	38	8.3717	1,516,550	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-23	38	8.6096	1,546,550	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-24	38	8.9642	1,576,550	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-27	38	9.8164	1,606,550	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-28	38	9.9634	1,617,650	11,100
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-29	38	9.9163	1,627,650	10,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.4117	1,271,100	-356,550
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	9.99	1,301,100	30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.3715	1,151,100	-150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.7337	1,051,100	-100,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.6715	901,100	-150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.7081	801,100	-100,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.5049	651,100	-150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.4321	501,100	-150,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.5113	401,100	-100,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.906	366,100	-35,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.8517	331,100	-35,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	8.1975	301,100	-30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	8.2182	271,100	-30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	30	8.2046	241,100	-30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.7853	206,100	-35,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	7.8557	171,100	-35,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	8.6096	141,100	-30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	8.9642	111,100	-30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	9.8164	81,100	-30,000
Enerplus Corporation	Common Shares	ENERPLUS CORPORATION	1	2021-09-30	38	8.3717	51,100	-30,000
Engine Media Holdings, Inc.	Common Shares	Rogers, Thomas	4, 5	2021-10-07	10	4.4	221,837	10,000
Ensign Energy Services Inc.	Common Shares	Whitham, Barth Edward	4	2021-10-01	46	1.92	236,365	7,813
Enterprise Group, Inc.	Common Shares	Enterprise Group, Inc.	1	2021-09-17	38	0.24	205,000	205,000
Enterprise Group, Inc.	Common Shares	Enterprise Group, Inc.	1	2021-09-17	38	0.24	0	-205,000
Enterprise Group, Inc.	Common Shares	Nilsson, Brian	3	2021-10-01	10	0.265	7,533,966	4,000
Enterprise Group, Inc.	Common Shares	Nilsson, Brian	3	2021-10-04	10	0.265	7,542,466	8,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Entheos Capital Corp.	Warrants	Taylor, Thomas	4	2020-03-18	00			
Entheos Capital Corp.	Warrants	Taylor, Thomas	4	2020-03-18	00		33,333	
Entheos Capital Corp.	Warrants	Taylor, Thomas	4	2021-02-05	54	0.15		33,333
Entheos Capital Corp.	Warrants	Taylor, Thomas	4	2021-02-05	54	0.15	0	-33,333
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Alexander, Jason	4	2021-09-30	56		599,966	94,966
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Cacioppo, Luciano	4	2021-09-30	56		325,593	105,263
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Carreon, Lilibeth	5	2021-10-01	00		210,000	
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Croxon, David Bruce	4	2021-09-30	56		348,270	105,263
Entourage Health Corp. (formerly WeedMD Inc.)	Options	DorO, Vincent	5	2021-02-01	00			
Entourage Health Corp. (formerly WeedMD Inc.)	Options	DorO, Vincent	5	2021-09-30	50	0.4	125,000	125,000
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	KING, GEORGE EDMUND	4	2021-09-30	56	0.19	574,194	105,263
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Paech, Gail Florence	4	2021-09-30	56		574,154	105,263
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Scorsis, George	4, 5	2021-09-30	56			204,082
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Scorsis, George	4, 5	2021-10-01	56		751,582	204,082
Entourage Health Corp. (formerly WeedMD Inc.)	Rights Deferred Share Units	Sikkema, Deborah	5	2021-09-30	00		220,000	
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-09-29	10	1	47,518,940	282,600
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-09-30	10	1	47,559,340	40,400
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-10-01	10	1	47,648,240	88,900
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-10-04	10	1	47,730,240	82,000
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-10-05	10	1	47,868,240	138,000
Entree Resources Ltd.	Common Shares	SANDSTORM GOLD LTD.	3	2021-10-06	10	1	47,900,040	31,800
Envirogold Global Limited	Common Shares	CAM, DAVID VICTOR	4, 5	2021-10-05	51	0.14	20,928,756	750,000
Envirogold Global Limited	Restricted Stock Unit	CAM, DAVID VICTOR	4, 5	2021-10-05	51		6,750,000	-750,000
Envirogold Global Limited	Common Shares	Foley, Robert Sean	4	2021-10-04	10	0.27	20,033,663	55,000
Envirogold Global Limited	Common Shares	Foley, Robert Sean	4	2021-10-04	10	0.2815	20,053,663	20,000
Envirogold Global Limited	Common Shares	Foley, Robert Sean	4	2021-10-05	51	0.14	20,553,663	500,000
Envirogold Global Limited	Restricted Stock Unit	Foley, Robert Sean	4	2021-10-05	51			500,000
Envirogold Global Limited	Restricted Stock Unit	Foley, Robert Sean	4	2021-10-05	51		1,500,000	-500,000
Envirogold Global Limited	Common Shares	Walsh, John	5	2021-07-14	00			
Envirogold Global Limited	Common Shares	Walsh, John	5	2021-10-04	10	0.27	100,000	100,000
EnWave Corporation	Common Shares	Henriques, Daniel Stephen	5	2021-10-05	10	1.13	75,000	-35,000
EnWave Corporation	Common Shares	Henriques, Daniel Stephen	5	2021-10-06	10	1.11	40,000	-35,000
EnWave Corporation	Common Shares	Henriques, Daniel Stephen	5	2021-10-07	10	1.11	20,000	-20,000
Equinox Gold Corp.	Deferred Share Units	Beaty, Ross J.	4	2021-10-01	56	8.403	11,758	2,971
Equinox Gold Corp.	Warrants	Beaty, Ross J.	4	2021-10-06	55	3	0	-3,000,000
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-14	38	26.45	1,000	1,000
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-14	38		0	-1,000

**Insider Reporting**

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Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-16	38	26.5	100	100
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-16	38		0	-100
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-20	38	26.36	200	200
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-20	38		0	-200
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-28	38	26.5	1,000	1,000
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-28	38		0	-1,000
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-29	38	26.5	500	500
Equitable Group Inc.	Preferred Shares Series 3	Equitable Group Inc.	1	2021-09-29	38		0	-500
Erdene Resource Development Corporation	Rights Deferred Share Units	Croft, Thomas Layton	4	2021-09-30	56	0.4	383,615	6,250
ESE Entertainment Inc.	Common Shares	Silver, Wayne	3, 7, 2	2021-10-04	10	1.29	3,554,500	-10,000
Ethos Gold Corp.	Options Director and Employee stock options	Heath, Alexandre Nicolas	5	2021-10-08	50	0.26	2,250,000	250,000
Ethos Gold Corp.	Options Director and Employee stock options	Murphy, Michael Darren	4	2021-10-08	50	0.26	1,650,000	400,000
Ethos Gold Corp.	Options Director and Employee stock options	Price, Jo	5	2021-10-08	50	0.26	1,150,000	100,000
Ethos Gold Corp.	Options Director and Employee stock options	Roberts, Craig A.	4, 5	2021-06-22	52	0.3	2,075,000	-425,000
Ethos Gold Corp.	Options Director and Employee stock options	Roberts, Craig A.	4, 5	2021-10-08	50	0.26	2,525,000	450,000
Ethos Gold Corp.	Options Director and Employee stock options	Topolewski, Danica	5	2021-10-08	50	0.26	425,000	75,000
Ethos Gold Corp.	Options Director and Employee stock options	VAN ALPHEN, HENDRIK	4	2021-10-08	50	0.26	1,800,000	400,000
Euromax Resources Ltd.	Deferred Phantom Units (DPUs)	Burke, James	4	2021-10-01	46		4,786,610	226,540
Euromax Resources Ltd.	Deferred Phantom Units (DPUs)	Delchev, Stanislav	4	2021-10-01	46		914,154	226,540
Euromax Resources Ltd.	Common Shares	Galena Resource Equities Limited	3	2021-10-01	11	0.057	191,610,952	15,602,312
Euromax Resources Ltd.	Warrants	Galena Resource Equities Limited	3	2021-10-01	11		162,610,952	15,602,312
Euromax Resources Ltd.	Common Shares	Konig, Martyn	4, 5	2021-10-02	11	0.057	11,105,645	895,669
Euromax Resources Ltd.	Deferred Phantom Units (DPUs)	Konig, Martyn	4, 5	2021-10-01	46		7,126,526	226,540
Euromax Resources Ltd.	Warrants	Konig, Martyn	4, 5	2020-01-12	54		0	-206,713
Euromax Resources Ltd.	Warrants	Konig, Martyn	4, 5	2021-10-02	15		895,669	895,669
Euromax Resources Ltd.	Common Shares	Morgan-Wynne, Timothy	4	2021-10-02	11	0.057	1,209,606	98,495
Euromax Resources Ltd.	Warrants	Morgan-Wynne, Timothy	4	2012-06-14	00			
Euromax Resources Ltd.	Warrants	Morgan-Wynne, Timothy	4	2021-10-02	11		98,495	98,495
Euromax Resources Ltd.	Deferred Phantom Units (DPUs)	Vutov, Ivan	4	2021-10-01	46		4,040,176	226,540
EverGen Infrastructure Corp.	Common Shares	Mezei, Sean	5	2021-10-07	10		124,500	4,500
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.273	214,400	-1,300
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.206	208,800	-5,600
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.266	207,900	-900
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.2	206,700	-1,200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.232	205,700	-1,000
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.24	204,700	-1,000
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.203	198,000	-6,700
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.228	196,700	-1,300
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.2	186,700	-10,000
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.21		-2,005
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.21	186,500	-200
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.21	184,500	-2,000
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.2	177,100	-7,400
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.2	176,900	-200
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.2	176,800	-100
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.2	176,700	-100
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.2	166,700	-10,000
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.225	166,600	-100
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.202	165,700	-900
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.168	155,600	-10,100
Evertz Technologies Limited	Common Shares	Patel, Rakesh Thakor	7	2021-10-01	10	14.173	153,900	-1,700
Excellon Resources Inc.	Restricted Share Units	Cahill, Brendan Thomas	4, 5	2021-10-01	56		179,518	15,060
Excellon Resources Inc.	Deferred Share Units	Curtis, Laurence Wilson	4	2021-09-30	56		108,499	10,542
Excellon Resources Inc.	Deferred Share Units	Fortier, Andr� Y.	4	2021-09-30	56		202,954	11,295
Excellon Resources Inc.	Deferred Share Units	Ladd-Kruger, Anna	4	2021-09-30	56		43,740	8,283
Excellon Resources Inc.	Deferred Share Units	Lindsay, Craig Thomas	4	2021-09-30	56		52,643	7,530
Exco Technologies Limited	Deferred Share Units	Kernaghan, Edward Hume	3, 4	2021-09-30	50	9.99	31,918	501
Exco Technologies Limited	Deferred Share Units	Magee, Robert Basil	4	2021-09-30	50	9.99	34,837	1,252
Exco Technologies Limited	Deferred Share Units	McMorrow, Colleen	4	2021-09-30	50	9.99	11,049	501
Exco Technologies Limited	Deferred Share Units	Riganelli, Paul	5	2021-09-30	50	9.99	9,142	501
Exco Technologies Limited	Deferred Share Units	Turnbull, AnneMarie	4	2021-09-30	50	9.99	6,915	501
Exploits Discovery Corp.	Common Shares	Swinoga, Jeffrey Anthony	4, 5	2021-10-08	10	0.53	40,000	20,000
Extencare Inc.	Common Shares	Mir, Ali Mohammad	7	2021-09-30	10	7.35	7,400	650
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-08-29	10	1.3154	21,910,260	-520,500
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-09-27	10	1.6608	21,153,260	-757,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-09-28	10	1.5483	20,063,260	-1,090,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-09-30	10	1.3323	19,648,260	-415,000



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-10-01	10	1.3045	19,348,260	-300,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-10-04	10	1.2143	18,823,260	-525,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-10-05	10	1.2111	18,195,560	-627,700
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-10-06	10	1.1563	17,587,860	-607,700
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-10-07	10	1.261	16,545,660	-1,042,200
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Malar Group Inc.	3	2021-10-08	10	1.2189	16,095,660	-450,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Navaratnam, Sayanthan	4, 5	2021-10-08	10	1.3118	5,208,930	-150,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Navaratnam, Sayanthan	4, 5	2021-10-04	10	1.2143	18,823,260	-525,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Navaratnam, Sayanthan	4, 5	2021-10-05	10	1.2111	18,195,560	-627,700
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Navaratnam, Sayanthan	4, 5	2021-10-06	10	1.1563	17,587,860	-607,700
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Navaratnam, Sayanthan	4, 5	2021-10-07	10	1.261	16,545,660	-1,042,200
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Navaratnam, Sayanthan	4, 5	2021-10-08	10	1.2189	16,095,660	-450,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Pushparajah, Suman	4, 5	2021-10-06	10	1.1588	3,736,440	-100,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Pushparajah, Suman	4, 5	2021-10-07	10	1.1853	3,636,440	-100,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Razvi, Junaid	4, 5	2021-10-05	10	1.18	4,230,040	-150,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Razvi, Junaid	4, 5	2021-10-06	10	1.1916	4,080,040	-150,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Razvi, Junaid	4, 5	2021-10-07	10	1.2576	3,984,040	-96,000
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Soundarajan, Gopalakrishnan	7	2021-09-13	00			
Fairfax Financial Holdings Limited	Subordinate Voting Shares	Soundarajan, Gopalakrishnan	7	2021-09-13	00			
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	2021-09-07	38	14	93,950	93,950
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	2021-09-15	38	13.52	123,950	30,000
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	2021-09-16	38	13.5	132,250	8,300
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	2021-09-20	38	13.27	178,250	46,000
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	2021-09-22	38	13.32	193,650	15,400

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Fairfax India Holdings Corporation	Subordinate Voting Shares	Fairfax India Holdings Corporation	1	2021-09-29	38		0	-193,650
Falcon Gold Corp.	Common Shares	Rayani, Karim	4	2021-09-24	10	0.105	5,260,000	25,000
Falcon Gold Corp.	Common Shares	Rayani, Karim	4	2021-09-29	10	0.1	5,384,500	124,500
Far Resources Ltd.	Common Shares	Barnard, Jason	3	2020-12-18	00		8,575,000	
Far Resources Ltd.	Common Shares	Barnard, Jason	3	2020-12-18	00		2,252,000	
Far Resources Ltd.	Options	Barnard, Jason	3	2020-12-18	00		950,000	
Far Resources Ltd.	Warrants	Barnard, Jason	3	2020-12-18	00		9,896,000	
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-01	38	4.35	3,600	3,600
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-01	38		0	-3,600
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-02	38	4.35	3,600	3,600
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-02	38		0	-3,600
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-03	38	4.35	3,687	3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-03	38		0	-3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-07	38	4.2	2,500	2,500
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-07	38		0	-2,500
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38	4.29	200	200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38		0	-200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38	4.3	200	200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38		0	-200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38	4.32	3,087	3,087
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38		0	-3,087
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38	4.31	200	200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-08	38		0	-200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-09	38	4.22	400	400
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-09	38		0	-400
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-09	38	4.21	3,200	3,200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-09	38		0	-3,200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-10	38	4.25	3,687	3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-10	38		0	-3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-13	38	4.15	3,687	3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-13	38		0	-3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-14	38	4.09	1,800	1,800
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-14	38		0	-1,800

**Insider Reporting**

<b>Issuer Name</b>	<b>Security</b>	<b>Insider Name</b>	<b>Rel'n</b>	<b>Transaction Date</b>	<b>T/O</b>	<b>Unit Price</b>	<b>Date/Month End Holdings</b>	<b>Acquired/ Disposed</b>
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38	4.25	1,100	1,100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38		0	-1,100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38	4.18	100	100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38		0	-100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38	4.31	187	187
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38		0	-187
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38	4.25	1,500	1,500
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38		0	-1,500
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38	4.31	800	800
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-15	38		0	-800
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-16	38	4.35	3,587	3,587
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-16	38		0	-3,587
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-16	38	4.31	100	100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-16	38		0	-100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-17	38	4.25	3,687	3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-17	38		0	-3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-20	38	4.3	3,687	3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-20	38		0	-3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-21	38	4.25	600	600
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-21	38		0	-600
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-22	38	4.34	100	100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-22	38		0	-100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-22	38	4.35	200	200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-22	38		0	-200
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-28	38	4.35	3,687	3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-28	38		0	-3,687
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-29	38	4.23	500	500
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-29	38		0	-500
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-29	38	4.22	3,100	3,100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-29	38		0	-3,100
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-30	38	4.31	2,400	2,400

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-30	38		0	-2,400
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-30	38	4.2	600	600
FAX Capital Corp.	Subordinate Voting Shares	FAX Capital Corp.	1	2021-09-30	38		0	-600
Fiera Capital Corporation	Performance Share Units	Blandizzi, Sebastiano	5	2021-09-30	35		66,084	1,315
Fiera Capital Corporation	Restricted Share Units	Castiglio, Gabriel	5	2021-09-30	35		30,266	603
Fiera Capital Corporation	Restricted Share Units (CASH)	Desjardins, Jean-Guy	4, 6, 5	2021-09-30	35		1,693,485	33,678
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-20	38	10.432	55,046	55,046
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-20	38		0	-55,046
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-21	38	10.52	54,900	54,900
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-21	38		0	-54,900
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-22	38	10.556	55,046	55,046
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-22	38		0	-55,046
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-23	38	10.599	51,800	51,800
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-23	38		0	-51,800
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-24	38	10.618	54,500	54,500
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-24	38		0	-54,500
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-27	38	10.707	54,300	54,300
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-27	38		0	-54,300
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-28	38	10.621	55,046	55,046
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-28	38		0	-55,046
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-29	38	10.573	53,800	53,800
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-29	38		0	-53,800
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-30	38	10.505	154,400	154,400
Fiera Capital Corporation	Subordinate Voting Shares Class A	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	1	2021-09-30	38		0	-154,400

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Fiera Capital Corporation	Subordinate Voting Shares Class A	FIERA CAPITAL S.E.C.	3	2021-10-04	11	10.472	4,278,550	-547,881
Fiera Capital Corporation	Restricted Share Units	Lamothe, Lyne	5	2021-09-30	35		19,485	387
Fiera Capital Corporation	Restricted Share Units	Lanthier, Anik	5	2021-09-30	35		117,522	2,337
Fiera Capital Corporation	Performance Share Units	Lemay, Jean-Philippe	5	2021-09-30	35		139,381	2,772
Fiera Capital Corporation	Restricted Share Units (CASH)	Lemay, Jean-Philippe	5	2021-09-30	35		175,824	3,497
Fiera Capital Corporation	Restricted Share Units	Pontillo, Luca Emilio	5	2021-09-30	35		20,215	402
Finning International Inc.	Common Shares	Finning International Inc.	1	2021-09-30	38		672,356	672,356
Finning International Inc.	Common Shares	Finning International Inc.	1	2021-09-30	38		0	-672,356
Finning International Inc.	Options	Marks, Anna Pia	5	2021-09-30	52	32.38	75,658	-4,210
First Helium Inc.	Common Shares	Safton, David	5	2021-10-05	10	0.2	942,749	7,500
First Helium Inc.	Common Shares	Safton, David	5	2021-10-07	10	0.2	950,249	7,500
First Helium Inc.	Common Shares	Safton, David	5	2021-10-07	10	0.2	965,249	15,000
First Mining Gold Corp.	Common Shares	Lock, Richard	4	2021-10-05	10	0.225	114,999	20,000
First National Financial Corporation	Common Shares	First National Securities Corporation	3	2021-10-06	47	44.49	14,839,086	-1,124
First National Financial Corporation	Common Shares	FNSC Holdings Inc.	3	2021-10-06	10	44.52	7,570,269	1,124
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2021-10-06	47	44.49	14,839,086	-1,124
First National Financial Corporation	Common Shares	Smith, Stephen	4, 7, 5	2021-10-06	10	44.52	7,570,269	1,124
First Quantum Minerals Ltd	Units Deferred Share	Adams, Andrew Bell	4	2021-10-01	46		35,254	615
First Quantum Minerals Ltd	Units Deferred Share	Harding, Robert J	4	2021-10-01	30	23.251	66,625	3,408
First Quantum Minerals Ltd	Units Deferred Share	McArthur, Charles Kevin	4	2021-05-06	00			
First Quantum Minerals Ltd	Units Deferred Share	McArthur, Charles Kevin	4	2021-10-01	30	23.251	1,849	1,849
First Tellurium Corp. (Formerly Deer Horn Capital Inc.)	Options	Fogarassy, Josef Anthony Steve	4	2021-10-01	50	0.11	1,080,000	100,000
First Tellurium Corp. (Formerly Deer Horn Capital Inc.)	Options	Saulnier, Pamela	5	2021-10-01	50	0.11	230,000	50,000
First Tellurium Corp. (Formerly Deer Horn Capital Inc.)	Options	Schwabe, Lyle Allen	4	2021-10-01	50	0.11	350,000	250,000
Flagship Communities Real Estate Investment Trust	Deferred Trust Units	Bynoe, Peter Charles Bernard	4	2021-10-01	56		3,661	1,193
Flagship Communities Real Estate Investment Trust	Deferred Trust Units	Forbes, Louis Marie	4	2021-10-01	56		2,301	750
Flagship Communities Real Estate Investment Trust	Deferred Trust Units	Monteith, Jennifer Susan	4	2021-10-01	56		1,464	477
Flagship Communities Real Estate Investment Trust	Deferred Trust Units	Oppenheim, Andrew Louis	4	2021-10-01	56		2,197	716
Flagship Communities Real Estate Investment Trust	Deferred Trust Units	STEWART, Iain	4	2021-10-01	56		1,464	477
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-14	38	12.4	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-14	38	12.4	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-15	38	12.35	1,500	1,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-15	38	12.35	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-16	38	12.34	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-16	38	12.34	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-17	38	12.29	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-17	38	12.29	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-20	38	12.34	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-20	38	12.34	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-21	38	12.35	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-21	38	12.35	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-23	38	12.42	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-23	38	12.42	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-27	38	12.41	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-27	38	12.41	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-28	38	12.44	1,500	1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-28	38	12.44	0	-1,500
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-29	38	12.34	800	800
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-29	38	12.34	0	-800
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-30	38	12.47	1,000	1,000
Flaherty & Crumrine Investment Grade Preferred Income Fund	Trust Units	Flaherty & Crumrine Investment Grade Preferred Income Fund	1	2021-09-30	38	12.47	0	-1,000
Flow Beverage Corp. (formerly RG One Corp.)	Restricted Share Units	Helfand, Kevin Franklin	5	2021-09-22	57		90,000	-10,000
Flow Beverage Corp. (formerly RG One Corp.)	Subordinate Voting Shares	Helfand, Kevin Franklin	5	2021-09-22	57		30,000	10,000
Flow Beverage Corp. (formerly RG One Corp.)	Restricted Share Units	Jackman, Joseph Patrick	4	2021-09-22	57		55,000	-5,000
Flow Beverage Corp. (formerly RG One Corp.)	Subordinate Voting Shares	Jackman, Joseph Patrick	4	2021-09-22	57		75,000	5,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Flow Beverage Corp. (formerly RG One Corp.)	Restricted Share Units	Mock, David	5	2021-09-22	57		187,501	-20,833
Flow Beverage Corp. (formerly RG One Corp.)	Subordinate Voting Shares	Mock, David	5	2021-09-22	57		123,226	20,833
Flow Beverage Corp. (formerly RG One Corp.)	Restricted Share Units	Pennell, Devan Chandler	5	2021-09-22	57		97,501	-10,833
Flow Beverage Corp. (formerly RG One Corp.)	Subordinate Voting Shares	Pennell, Devan Chandler	5	2021-09-22	57		34,499	10,833
Flow Beverage Corp. (formerly RG One Corp.)	Restricted Share Units	Reichenbach, Nicholas Dean	3, 4, 5	2021-09-22	57		521,314	-60,901
Flow Beverage Corp. (formerly RG One Corp.)	Subordinate Voting Shares	Reichenbach, Nicholas Dean	3, 4, 5	2021-09-22	57		357,531	60,901
Foran Mining Corporation	Rights DSU	MYERSON, DANIEL	4, 5	2021-10-01	56	2.1379	676,226	29,234
Foran Mining Corporation	Rights DSU	Petroff, David Michael	4	2021-09-30	56	2.13	313,444	2,339
Foran Mining Corporation	Rights DSU	Rogers, Jean	4	2021-09-30	56	2.13	5,258	2,339
Foran Mining Corporation	Rights DSU	Tagami, Maurice Alan	4	2021-09-30	56	2.13	313,444	2,339
Foremost Income Fund	Trust Units	Grenon, James Terrence	3	2021-10-06	11	6.35	12,810,048	71,628
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.92	81,620,500	-20,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.93	81,600,500	-20,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.95	81,595,500	-5,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.95	81,590,500	-5,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.9502	81,580,000	-10,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.9516	81,577,000	-3,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.9565	81,557,000	-20,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.96	81,551,000	-6,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.97	81,534,000	-17,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.9705	81,524,000	-10,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-03	10	0.98	81,519,000	-5,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-07	10	0.99	81,469,000	-50,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-10	10	0.977	81,292,000	-45,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-10	10	0.98	81,232,000	-60,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-10	10	0.9866	81,230,500	-1,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-10	10	0.99	81,222,000	-8,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-10	10	1	81,215,000	-7,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-10	10	1.03	81,205,000	-10,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.0654	81,116,500	-88,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.0706	81,040,000	-76,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.0762	80,955,000	-85,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.0763	80,892,000	-63,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.08	80,847,500	-44,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.0804	80,796,000	-51,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.088	80,793,500	-2,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.0885	80,759,500	-34,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.09	80,758,000	-1,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.0934	80,709,500	-48,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.1	80,654,500	-55,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-13	10	1.12	80,632,500	-22,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-16	10	1.2102	80,166,500	-39,700
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-16	10	1.22	80,161,500	-5,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-16	10	1.26	80,156,500	-5,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-16	10	1.2696	80,088,200	-68,300
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-16	10	1.27	80,078,200	-10,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-16	10	1.272	80,073,200	-5,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-09-30	10	0.9132	79,761,700	-67,000

**Insider Reporting**

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Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.88	79,751,700	-10,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.89	79,724,700	-27,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9	79,650,700	-74,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9017	79,636,200	-14,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9022	79,598,200	-38,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9055	79,593,700	-4,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9382	79,585,200	-8,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.95	79,581,700	-3,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9543	79,563,200	-18,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9546	79,556,700	-6,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.96	79,512,200	-44,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9648	79,462,200	-50,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.965	79,460,200	-2,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9664	79,370,700	-89,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.97	79,347,200	-23,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.98	79,339,700	-7,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.9822	79,310,700	-29,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	1.0022	79,293,200	-17,500
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-04	10	0.89	79,298,200	5,000
Forsys Metals Corp	Common Shares	Leonardo Trust	3	2021-10-07	10	0.9	79,295,200	-3,000
Fortis Inc.	Deferred Share Unit	Ball, Tracey Colleen	4	2021-10-01	56	56.423	25,258	599
Fortis Inc.	Deferred Share Unit	Blouin, Pierre J.	4	2021-10-01	56	56.423	21,675	599
Fortis Inc.	Deferred Share Unit	Bonavia, Paul	4	2021-10-01	56	44.444	9,353	600
Fortis Inc.	Deferred Share Unit	Borgard, Lawrence	4	2021-10-01	56	44.444	12,430	600
Fortis Inc.	Deferred Share Unit	Clark, Maura	4	2021-10-01	56	44.444	18,975	601
Fortis Inc.	Deferred Share Unit	Dilley, Margarita	4	2021-10-01	56	44.444	16,435	600
Fortis Inc.	Deferred Share Unit	Dobson, Julie	4	2021-10-01	56	44.444	9,353	600
Fortis Inc.	Deferred Share Unit	Durocher, Lisa	4	2021-10-01	56	56.423	2,475	1,075
Fortis Inc.	Common Shares	Ernst, Albert	7	2021-09-30	10	44.17	10,183	-364
Fortis Inc.	Deferred Share Unit	Haughey, Douglas J.	4	2021-10-01	56	56.423	47,276	1,085
Fortis Inc.	Deferred Share Unit	MANES, GIANNA MANSUETO	4	2021-10-01	56	44.444	2,965	1,291
Fortis Inc.	Deferred Share Unit	Zurel, Jo Mark	4	2021-10-01	56	56.423	15,533	598
Fortuna Silver Mines Inc.	Restricted Share Unit Plan (share settled)	Whittle, David	5	2021-10-01	00		170,386	
Fortune Bay Corp.	Deferred Share Units	Gill, Derrick Edwin	4	2021-09-30	56		65,751	20,161
Fortune Bay Corp.	Deferred Share Units	gross, michael	4	2021-09-30	56		65,751	20,161
Fortune Bay Corp.	Deferred Share Units	Shaw, Robert Peter	4	2021-09-30	56		61,706	20,161
Fox River Resources Corporation	Common Shares	Case, Stephen Dunbar	3, 4, 5	2021-10-01	10	0.3	9,094,838	1,000
FPX Nickel Corp. (formerly First Point Minerals Corp.)	Common Shares	knoche, allyn	3	2021-10-07	10	0.465	33,858,874	50,000
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-01	38	2.15	533,308	300
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-13	38	2.0607	536,308	3,000
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-14	38	2.0572	541,708	5,400
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-15	38	2.0745	547,908	6,200
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-16	38	2.0617	552,508	4,600
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-17	38	2.0615	556,408	3,900



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-20	38	2.0536	563,908	7,500
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-21	38	2.0387	569,408	5,500
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-22	38	2.055	577,662	8,254
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-23	38	2.0676	585,162	7,500
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-24	38	2.0991	638,462	53,300
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-24	38		588,808	-49,654
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-27	38	2.1097	592,408	3,600
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-28	38	2.0729	600,608	8,200
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-29	38	2.0961	608,862	8,254
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-29	38		544,462	-64,400
Freshii Inc.	Subordinate Voting Shares Class A	Freshii Inc.	1	2021-09-30	38	2.0788	545,262	800
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-01	38	6.8109	20,000	20,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-01	38		0	-20,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-02	38	7.0259	21,300	21,300
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-02	38		0	-21,300
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-03	38	7.0665	9,400	9,400
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-03	38		0	-9,400
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-07	38	7.0594	3,500	3,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-07	38		0	-3,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-08	38	7.0011	15,000	15,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-08	38		0	-15,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-09	38	7.0364	10,500	10,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-09	38		0	-10,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-10	38	6.9981	15,000	15,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-10	38		0	-15,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-13	38	7.2246	20,700	20,700
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-13	38		0	-20,700
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-14	38	7.0953	15,000	15,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-14	38		0	-15,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-15	38	7.1793	20,900	20,900
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-15	38		0	-20,900

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-16	38	7.1889	14,200	14,200
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-16	38		0	-14,200
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-17	38	7.2227	13,100	13,100
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-17	38		0	-13,100
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-20	38	6.8859	20,500	20,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-20	38		0	-20,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-21	38	6.9344	20,200	20,200
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-21	38		0	-20,200
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-22	38	7.1278	20,000	20,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-22	38		0	-20,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-23	38	7.2847	20,000	20,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-23	38		0	-20,000
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-24	38	7.3505	3,800	3,800
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-24	38		0	-3,800
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-27	38	7.5658	13,200	13,200
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-27	38		0	-13,200
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-28	38	7.6907	12,300	12,300
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-28	38		0	-12,300
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-29	38	7.6578	12,500	12,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-29	38		0	-12,500
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-30	38	7.5785	10,400	10,400
Frontera Energy Corporation	Common Shares	Frontera Energy Corporation	1	2021-09-30	38		0	-10,400
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Cook, Steven Mark	4	2021-10-06	16	0.75	153,299	30,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Warrants	Cook, Steven Mark	4	2013-10-28	00			
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Warrants	Cook, Steven Mark	4	2021-10-06	16		30,000	30,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Hoffman, Michael	4	2021-10-06	15	0.75		66,667
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Hoffman, Michael	4	2021-10-06	15	0.75	224,448	66,667
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Warrants	Hoffman, Michael	4	2020-10-09	00			

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Sherry, Lynsey Suzanne	5	2021-10-06	11	0.75		30,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Common Shares	Sherry, Lynsey Suzanne	5	2021-10-06	16	0.75	47,000	30,000
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Warrants	Sherry, Lynsey Suzanne	5	2020-11-06	00			
Fury Gold Mines Limited (formerly "Auryn Resources Inc.")	Warrants	Sherry, Lynsey Suzanne	5	2021-10-06	16		30,000	30,000
GABY Inc.	Restricted Share Units	EBZ Management, EBZ Management	3	2021-04-05	00			
GABY Inc.	Restricted Share Units	EBZ Management, EBZ Management	3	2021-09-30	56		1,000,000	1,000,000
GABY Inc.	Restricted Share Units	Micallef, Margot Mary	6	2021-09-30	56		4,853,334	1,000,000
GABY Inc.	Restricted Share Units	Schmachtenberger, James	4	2021-09-30	56		2,000,000	1,000,000
GDI Integrated Facility Services Inc.	Deferred Share Units	Blanchet, Suzanne	4	2021-09-30	56		8,997	545
GDI Integrated Facility Services Inc.	Deferred Share Units	Boychuk, Michael T.	4	2021-09-30	56		19,443	668
GDI Integrated Facility Services Inc.	Deferred Share Units	GALLOWAY, DAVID ALEXANDER	4	2021-09-30	56		23,817	591
GDI Integrated Facility Services Inc.	Deferred Share Units	Roy, Richard G	4	2021-09-30	56		23,086	545
GDI Integrated Facility Services Inc.	Deferred Share Units	Youngman, Carl	4	2021-09-30	56		20,419	545
Gear Energy Ltd.	Options	Chretien, Joseph Steve Yvan	5	2021-10-05	52	1.16	876,000	-60,000
Gear Energy Ltd.	Options	Dozzi, Bryan	5	2021-10-05	52	1.16	1,056,000	-75,000
Gear Energy Ltd.	Options	English, William Henry	4	2021-10-05	52	1.16	279,000	-15,000
Gear Energy Ltd.	Options	Gillmore, Ingram	4, 5	2021-10-05	52	1.16	1,919,000	-114,000
Gear Energy Ltd.	Options	Gray, Don	3, 4	2021-10-05	52	1.16	590,000	-20,000
Gear Energy Ltd.	Options	Hwang, Han-Bom David	5	2021-10-05	52	1.16	1,110,000	-84,000
Gear Energy Ltd.	Options	Kaluski, Jason John Kenneth	5	2021-10-05	52	1.16	1,001,000	-74,000
Gear Energy Ltd.	Common Shares	Ressler, Dustin	5	2021-10-04	51	0.939	108,514	49,200
Gear Energy Ltd.	Common Shares	Ressler, Dustin	5	2021-10-04	10	0.939	59,314	-49,200
Gear Energy Ltd.	Options	Ressler, Dustin	5	2021-10-04	51	0.43	1,065,000	-102,000
Gear Energy Ltd.	Options	Ressler, Dustin	5	2021-10-05	52	1.16	1,019,000	-46,000
Gear Energy Ltd.	Options	Wyma, Bindu	4	2021-10-05	52	1.16	293,000	-18,000
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-16	10	1.14	35,500	5,000
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-17	10	1.15	40,500	5,000
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-20	10	1.15	45,500	5,000
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-21	10	1.15	50,500	5,000
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-22	10	1.15	54,500	4,000
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-23	10	1.18	59,500	5,000
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-28	10	1.1	63,600	4,100
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-28	10	1.09	64,400	800
General Assembly Holdings Limited	Common Shares Class A	Collins, Jeffrey David	5	2021-09-30	10	1.15	79,400	15,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
George Weston Limited	Rights -Deferred Share Units	Binning, Paviter Singh	4, 6	2021-10-01	30		2,606	11
George Weston Limited	Rights -Deferred Share Units	Bryant, Warren	7	2021-10-01	30		8,332	38
George Weston Limited	Common Shares	DalGLISH, Camilla H.	6	2021-10-02	11		158,453	120,953
George Weston Limited	Common Shares	DalGLISH, Camilla H.	6	2021-10-02	11		0	-158,453
George Weston Limited	Common Shares	DalGLISH, Camilla H.	6	2021-10-02	11		153,578	116,078
George Weston Limited	Common Shares	DalGLISH, Camilla H.	6	2021-10-02	11		0	-153,578
George Weston Limited	Common Shares	DalGLISH, Camilla H.	6	2021-10-02	11		116,078	-120,953
George Weston Limited	Common Shares	DalGLISH, Camilla H.	6	2021-10-02	11		0	-116,078
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2015-06-09	00			
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2021-10-02	11		10,000	10,000
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2021-10-02	11		0	-10,000
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2015-06-09	00			
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2021-10-02	11		10,000	10,000
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2021-10-02	11		0	-10,000
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2021-10-02	11		10,000	-10,000
George Weston Limited	Preferred Shares Series 1	DalGLISH, Camilla H.	6	2021-10-02	11		0	-10,000
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2015-06-09	00			
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2021-10-02	11		10,000	10,000
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2021-10-02	11		0	-10,000
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2015-06-09	00			
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2021-10-02	11		10,000	10,000
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2021-10-02	11		0	-10,000
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2021-10-02	11		10,000	-10,000
George Weston Limited	Preferred Shares Series 3	DalGLISH, Camilla H.	6	2021-10-02	11		0	-10,000
George Weston Limited	Rights -Deferred Share Units	Ferrier, Andrew Alan	4	2021-10-01	30		7,825	36
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-01	38	136.46	113,849	35,000
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-02	38	136.95	161,069	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-03	38	136.43	208,289	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-07	38	135.88	255,509	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-08	38	136.64	302,729	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-09	38	137	349,949	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-10	38	136.62	397,169	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-13	38	136.75	444,389	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-14	38	135.07	491,609	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-15	38	133.92	538,829	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-15	38		94,440	-444,389
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-16	38	134.19	141,660	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-17	38	132.23	188,880	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-20	38	129.99	236,100	47,220

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-21	38	131.65	268,100	32,000
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-22	38	132.68	302,200	34,100
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-23	38	132.69	349,420	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-24	38	132.26	396,640	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-27	38	130.27	443,860	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-28	38	128.99	491,080	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-29	38	134.03	538,300	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-30	38	136.68	585,520	47,220
George Weston Limited	Common Shares	George Weston Limited	1	2021-09-30	38		188,880	-396,640
George Weston Limited	Rights -Deferred Share Units	Lockhart, Nancy	4	2021-10-01	30		5,070	22
George Weston Limited	Rights -Deferred Share Units	Marwah, Sarabjit	4	2021-10-01	30		17,180	77
George Weston Limited	Rights -Deferred Share Units	Nixon, Gordon Melbourne	4	2021-10-01	30		14,721	66
George Weston Limited	Rights -Deferred Share Units	Prichard, John Robert Stobo	4	2021-10-01	30		51,001	228
George Weston Limited	Rights -Deferred Share Units	Sawyer, Robert	7	2021-10-01	30		10,115	46
George Weston Limited	Rights -Deferred Share Units	Strauss, Christi	4	2021-10-01	30		11,137	50
George Weston Limited	Rights -Deferred Share Units	Stymiest, Barbara Gayle	4	2021-10-01	30		22,589	101
George Weston Limited	Rights -Deferred Share Units	Weston, Alannah Elizabeth	6	2021-10-01	30		8,131	37
George Weston Limited	Rights -Deferred Share Units	Weston, Willard Galen Garfield	3, 4, 5	2021-10-01	30		2,219	10
GFL Environmental Inc.	Deferred Share Units	Chiesa, Dino	4	2021-10-01	56		9,352	1,065
GFL Environmental Inc.	Deferred Share Units	Konkle, Violet	4	2021-10-01	56		4,505	1,738
GFL Environmental Inc.	Deferred Share Units	Nayar, Arun	4	2021-10-01	56		9,352	1,065
GFL Environmental Inc.	Deferred Share Units	Poole, Lonnie Craven, III	4	2021-10-01	56		9,352	1,065
Gibson Energy Inc.	Deferred Share Units	Bloom, Douglas Palmer	4	2021-10-01	56	23.29	39,023	1,717
Gibson Energy Inc.	Deferred Share Units	Brown, Sean	5	2021-10-01	56	23.29	24,087	1,473
Gibson Energy Inc.	Deferred Share Units	Cleary, James Joseph	4	2021-10-01	56	23.29	83,615	2,392
Gibson Energy Inc.	Deferred Share Units	Cotte, Judy Elizabeth	4	2021-10-01	56	23.29	8,898	1,878
Gibson Energy Inc.	Deferred Share Units	DeGruchy, Kyle John	5	2021-10-01	56	23.29	14,951	1,300
Gibson Energy Inc.	Deferred Share Units	Estey, James	4	2021-10-01	56	23.29	101,385	2,626
Gibson Energy Inc.	Deferred Share Units	Festival, John Larry	4	2021-10-01	56	23.29	23,360	1,717
Gibson Energy Inc.	Deferred Share Units	Lam, Juliana Lan	4	2021-09-10	00			
Gibson Energy Inc.	Deferred Share Units	Lam, Juliana Lan	4	2021-10-01	56	23.29	208	208
Gibson Energy Inc.	Deferred Share Units	McRae, Marshall L.	4	2021-10-01	56	23.29	72,122	912
Gibson Energy Inc.	Deferred Share Units	Montana, Margaret Cahill	4	2021-10-01	56	23.29	8,254	2,187
Gibson Energy Inc.	Deferred Share Units	Peters, Mary Ellen	4	2021-10-01	56	23.29	62,018	1,162
Gibson Energy Inc.	Deferred Share Units	Saif, Omar Ali Khan	5	2021-10-01	56	23.29	20,607	1,040
Gibson Energy Inc.	Deferred Share Units	SPAUDLING, STEVEN R.	4, 5	2021-10-01	56	23.29	120,191	2,774
Gibson Energy Inc.	Deferred Share Units	WILSON, SEAN	7	2021-10-01	56	23.29	41,095	1,109
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Berg, Donald	4	2021-09-20	35	38	57,230	231
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Berg, Donald	4	2021-10-03	56	37.29	59,610	2,380
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Bertrand, Maryse	4	2021-09-20	35	38	14,082	57
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Bertrand, Maryse	4	2021-10-03	56	37.29	15,042	960
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Caira, Marc	4	2021-09-20	35	38	24,713	100

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Caira, Marc	4	2021-10-03	56	37.29	26,201	1,488
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Cunningham, Shirley Elizabeth	4	2021-09-20	35	38	32,113	130
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Cunningham, Shirley Elizabeth	4	2021-10-03	56	37.29	33,762	1,649
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-01	38	39.072	354,946	89,982
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-01	38	39.1	397,446	42,500
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-02	38	39.704	487,428	89,982
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-02	38	39.645	529,928	42,500
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-03	38	40.041	619,910	89,982
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-03	38	40.053	662,410	42,500
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-07	38	39.412	727,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-08	38	38.436	792,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-09	38	38.609	857,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-10	38	38.543	922,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-13	38	38.221	987,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-14	38	38.472	1,052,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-15	38	38.084	1,117,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-16	38	38.074	1,182,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-17	38	37.34	1,247,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-20	38	36.55	1,312,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-21	38	36.734	1,377,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-22	38	37.526	1,442,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-23	38	38.839	1,507,410	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-24	38	38.301	1,527,710	20,300
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-27	38	38.378	1,592,710	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-28	38	37.55	1,657,710	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-29	38	37.611	1,722,710	65,000
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-29	38		514,910	-1,207,800
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-29	38		65,000	-449,910
Gildan Activewear Inc.	Common Shares	Gildan Activewear Inc.	1	2021-09-30	38	36.991	130,000	65,000
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Goodman, Russell Andrew	4	2021-09-20	35	38	48,099	194
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Goodman, Russell Andrew	4	2021-10-03	56	37.29	49,587	1,488
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Herington, Charles	4	2021-09-20	35	38	24,713	100
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Herington, Charles	4	2021-10-03	56	37.29	26,201	1,488
Gildan Activewear Inc.	Deferred Share Units (DSUs)	JOBIN, Luc	4	2021-09-20	35	38	11,892	48
Gildan Activewear Inc.	Deferred Share Units (DSUs)	JOBIN, Luc	4	2021-10-03	56	37.29	13,541	1,649
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Leavitt, Craig Ansel	4	2021-09-20	35	38	16,190	65
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Leavitt, Craig Ansel	4	2021-10-03	56	37.29	17,678	1,488
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Martin-Vachon, Anne	4	2021-09-20	35	38	39,854	161
Gildan Activewear Inc.	Deferred Share Units (DSUs)	Martin-Vachon, Anne	4	2021-10-03	56	37.29	41,342	1,488
Global Crossing Airlines Group Inc.	Warrants	DaGrosa, Joseph	4	2021-10-05	11		474,353	-248,228
Global Helium Corp.	Common Shares	Nichol, Roderick Donald	4	2021-05-11	00		160,000	
Global Helium Corp.	Common Shares	Nichol, Roderick Donald	4	2021-10-05	16	0.65	175,000	15,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Global Helium Corp.	Warrants	Nichol, Roderick Donald	4	2021-05-11	00		160,000	
Global Helium Corp.	Warrants	Nichol, Roderick Donald	4	2021-10-05	16	0.65	175,000	15,000
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2021-10-04	38	15.3	689,100	300
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-05	10	0.425	30,387,056	2,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-05	10	0.338	30,388,056	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-06	10	0.425	30,389,056	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-07	10	0.4	30,391,556	2,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-07	10	0.34	30,392,556	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-07	10	0.425	30,395,056	2,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-08	10	0.4	30,396,556	1,500
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-08	10	0.32	30,397,556	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-08	10	0.4	30,398,556	1,000
GlobeX Data Ltd.	Common Shares	Ghiai Chamlou, Alain Mehdi	4, 5	2021-10-08	10	0.32	30,399,556	1,000
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Appel, David Harry	4	2021-09-30	56	207.28	69,949	111
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Basian, Karen	4	2021-09-30	56	207.28	26,527	123
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Deakin, Tara	4	2021-09-30	56	207.28	1,063	77
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Doniz, Susan	4	2021-09-30	56	207.28	5,960	63
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Johnson, Donald Kenneth	3, 4	2021-09-30	56	207.28	80,129	144
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Moore, James	4	2021-09-30	56	207.28	735	16
goeasy Ltd. (formerly, easyhome Ltd.)	Deferred Share Unit Plan	Morrison, Sean	4	2021-09-30	56	207.28	12,707	111
Golcap Resources Corp.	Common Shares	Sutton, Monty	4	2021-09-29	00		235,000	
Golcap Resources Corp.	Warrants	Sutton, Monty	4	2021-09-29	00		235,000	
Gold Line Resources Ltd.	Common Shares	Cegielski, Adam	4, 5	2020-08-12	00			
Gold Line Resources Ltd.	Common Shares	Cegielski, Adam	4, 5	2021-10-01	11	0.12	500,000	500,000
Gold Line Resources Ltd.	Warrants	Cegielski, Adam	4, 5	2020-08-12	00			
Gold Line Resources Ltd.	Warrants	Cegielski, Adam	4, 5	2021-10-01	11	0.12	500,000	500,000
Gold Line Resources Ltd.	Common Shares	Lim, Szascha	5	2020-08-28	00			
Gold Line Resources Ltd.	Common Shares	Lim, Szascha	5	2021-10-01	11	20000	20,000	20,000
Gold Line Resources Ltd.	Warrants	Lim, Szascha	5	2020-08-28	00			
Gold Line Resources Ltd.	Warrants	Lim, Szascha	5	2021-10-01	11	0.12	20,000	20,000
Gold Mountain Mining Corp. (formerly Freeform Capital Partners Inc.)	Common Shares	Smith, Kevin	5	2021-10-07	10	1.79	1,987,800	7,500
Gold Reserve Inc.	Options Stock Options	Belanger, A. Douglas	4, 5	2021-10-04	50	1.6	530,000	230,000
Gold Reserve Inc.	Options Stock Options	Cohen, Robert	4	2021-10-04	50	1.6	185,000	60,000
Gold Reserve Inc.	Options Stock Options	COLEMAN, James Hayward	4	2021-10-04	50	1.6	1,500,000	1,000,000
Gold Reserve Inc.	Options Stock Options	Gagnon, Yves Martin Gagnon	4	2021-10-04	50	1.6	155,000	30,000
Gold Reserve Inc.	Options Stock Options	Geyer, James	4	2021-10-04	50	1.6	305,000	120,000
Gold Reserve Inc.	Options Stock Options	Johnston, James Michael	4	2017-08-29	00			

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Gold Reserve Inc.	Options Stock Options	Johnston, James Michael	4	2021-10-04	50	1.6	195,000	195,000
Gold Reserve Inc.	Common Shares Class A Common Shares	Potvin, Jean-charles	1	2021-10-01	10	2.05	152,192	-20,000
Gold Reserve Inc.	Options Stock Options	Timm, Rockne	4, 5	2021-10-04	50	1.6	1,175,000	750,000
Gold Standard Ventures Corp.	Common Shares	Sun Valley Gold LLC	3	2021-10-07	10	0.44	44,821,274	1,245,052
Gold Standard Ventures Corp.	Common Shares	Sun Valley Gold LLC	3	2021-10-08	10	0.44	44,898,969	77,695
GOLD'N FUTURES MINERAL CORP.(formerly European Metals Corp.)	Common Shares	Wilkinson, Stephen James	5	2021-10-06	10	0.065	35,000	20,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	McNeice, John Darin	5	2021-10-06	10	0.06	6,685,300	149,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	McNeice, John Darin	5	2021-10-07	10	0.06	6,686,300	1,000
GoldHaven Resources Corp. (formerly Altum Resource Corp.)	Common Shares	Schieber, Gerhard Daniel	4	2021-10-04	10	0.434	375,000	10,000
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Finkielsztain, Andres	4	2021-09-30	56		50,890	9,950
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Mennega, Paul Michael	5	2021-09-30	56		385,795	4,975
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Naik, Mahendra	4	2021-10-05	57	2.51	231,626	12,139
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Naik, Mahendra	4	2021-09-30	56		45,394	12,139
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Naik, Mahendra	4	2021-10-05	57	2.51	33,255	-12,139
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Olson, Mark	5	2021-08-16	00			
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Olson, Mark	5	2021-09-30	56		2,487	2,487
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Premoli, Alessandro	5	2021-09-30	56		122,809	18,399
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Sebag, Roy	3, 4, 5	2021-09-30	56		489,032	22,860
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Turk, James J	4	2021-09-30	56		13,134	13,134
Goldmoney Inc. (formerly BitGold Inc.)	Rights Restricted Share Units	Wieler, Stefan	4, 5	2021-09-30	56		190,121	8,258
Gran Tierra Energy Inc.	Options	Dey, Peter James	4	2021-10-01	52	3.01	233,815	-2,475
Gran Tierra Energy Inc.	Options	Dey, Peter James	4	2021-10-01	50	0.76	247,639	13,824
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Dey, Peter James	4	2021-10-01	56		932,079	55,436
Gran Tierra Energy Inc.	Common Shares	Ellson, Ryan Paul	5	2021-10-04	30	0.71	227,378	3,947
Gran Tierra Energy Inc.	Common Shares	Evans, Jim Randall	5	2021-10-04	30	0.71	93,557	1,741
Gran Tierra Energy Inc.	Common Shares	Guidry, Gary Stephen	4, 5	2021-10-04	30	0.71	335,808	5,572
Gran Tierra Energy Inc.	Options	Hazell, Evan James	4	2021-10-01	52	3.01	238,281	-2,475
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Hazell, Evan James	4	2021-10-01	56		774,268	49,609
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Hodgins, Robert Bruce	4	2021-10-01	56		848,230	49,479
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Redford, Alison	4	2021-09-07	00			
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Redford, Alison	4	2021-10-01	56		41,861	41,861
Gran Tierra Energy Inc.	Options	Royal, Ronald William	4	2021-10-01	52	3.01	233,815	-2,475
Gran Tierra Energy Inc.	Options	Royal, Ronald William	4	2021-10-01	50	0.76	247,639	13,824



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Gran Tierra Energy Inc.	Rights Deferred Stock Units	Royal, Ronald William	4	2021-10-01	56		965,286	55,436
Gran Tierra Energy Inc.	Options	Smith, David Paul	4	2021-10-01	52	3.01	238,281	-2,475
Gran Tierra Energy Inc.	Options	Smith, David Paul	4	2021-10-01	50	0.76	252,105	13,824
Gran Tierra Energy Inc.	Rights Deferred Stock Units	Smith, David Paul	4	2021-10-01	56		427,967	25,488
Gran Tierra Energy Inc.	Common Shares	Trimble, Rodger Derrick	5	2021-10-04	30	0.71	160,502	2,786
Gran Tierra Energy Inc.	Options	Wade, Brooke Nelson	4	2021-10-01	52	3.01	233,815	-2,475
Gran Tierra Energy Inc.	Options	Wade, Brooke Nelson	4	2021-10-01	50	0.76	247,639	13,824
Great-West Lifeco Inc.	Deferred Share Units	Amend, Michael Ryan	4	2021-09-30	56	38.519	38,151	2,248
Great-West Lifeco Inc.	Deferred Share Units	Barrett, Deborah Jean	4	2021-09-30	56	38.519	32,153	1,926
Great-West Lifeco Inc.	Deferred Share Units	Bienfait, Roberta Ann	4	2021-09-30	56	38.517	17,073	1,355
Great-West Lifeco Inc.	Deferred Share Units	Conway, Heather	4	2021-09-30	56	38.52	16,347	826
Great-West Lifeco Inc.	Deferred Share Units	Coutu, Marcel R.	4	2021-09-30	56	38.522	97,243	3,411
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Andr�	4, 6	2021-09-30	56	38.528	237,980	4,880
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Olivier	7	2021-09-30	56	38.521	37,369	1,479
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Paul III	7	2021-09-30	30	38.54	25,662	288
Great-West Lifeco Inc.	Deferred Share Units	Desmarais, Paul Jr.	4, 6	2021-09-30	56	38.525	61,226	1,635
Great-West Lifeco Inc.	Deferred Share Units	Doer, Gary Albert	4, 6	2021-09-30	56	38.519	20,924	1,158
Great-West Lifeco Inc.	Deferred Share Units	Fuller, David	4	2021-09-30	56	38.519	22,958	1,205
Great-West Lifeco Inc.	Deferred Share Units	G�nOreux, Claude	4	2021-09-30	56	38.521	79,460	3,332
Great-West Lifeco Inc.	Common Shares	Great-West Lifeco U.S. Holdings, L.P.	2	2021-09-29	10	33.412	162,181	162,181
Great-West Lifeco Inc.	Common Shares	Great-West Lifeco U.S. Holdings, L.P.	2	2021-09-29	10	38.746	0	-162,181
Great-West Lifeco Inc.	Common Shares	Great-West Lifeco U.S. Holdings, L.P.	2	2021-10-01	10	38.388	146,842	146,842
Great-West Lifeco Inc.	Common Shares	Great-West Lifeco U.S. Holdings, L.P.	2	2021-10-01	10	38.377	0	-146,842
Great-West Lifeco Inc.	Deferred Share Units	Jackson, John David Allan	4	2021-09-30	56	38.54	21,073	237
Great-West Lifeco Inc.	Deferred Share Units	Lempres, Elizabeth Cahill	4	2021-09-30	56	38.518	15,965	989
Great-West Lifeco Inc.	Deferred Share Units	Madoff, Paula Beth	4	2021-09-30	56	38.518	22,780	1,419
Great-West Lifeco Inc.	Deferred Share Units	Mahon, Paul	5	2021-09-30	56	38.522	225,275	3,123
Great-West Lifeco Inc.	Deferred Share Units	McArthur, Susan J.	4	2021-09-30	56	38.519	36,439	2,030
Great-West Lifeco Inc.	Deferred Share Units	Murphy, Edmund Francis	7	2021-09-30	56	38.517	9,182	811
Great-West Lifeco Inc.	Deferred Share Units	Orr, Robert Jeffrey	4, 6	2021-09-30	56	38.533	228,690	3,492
Great-West Lifeco Inc.	Deferred Share Units	Plessis-B�lair, Michel	6	2021-09-30	30	38.54	35,220	396
Great-West Lifeco Inc.	Deferred Share Units	Reynolds, Robert Lloyd	7	2021-09-30	56	38.521	23,666	974
Great-West Lifeco Inc.	Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 6	2021-09-30	56	38.522	104,701	3,957
Great-West Lifeco Inc.	Deferred Share Units	Tretiak, Gregory Dennis	4, 6	2021-09-30	56	38.522	38,919	1,408
Great-West Lifeco Inc.	Deferred Share Units	Vanaselja, Siim A.	4, 6	2021-09-30	56	38.521	61,795	2,395
Great-West Lifeco Inc.	Deferred Share Units	Walsh, Brian, E.	4	2021-09-30	56	38.525	139,927	3,665
Greenland Resources Inc.	Common Shares	Minty, Keith Charles	5	2021-10-06	10	0.37	192,966	26,300
Greenland Resources Inc.	Common Shares	Shiffman, Ruben	4, 5	2021-10-01	10	0.47	12,810,000	160,000
Grid Metals Corp.	Common Shares	Dunbar, Robin Edward	4, 5	2021-10-01	10	0.1	852,656	50,000
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-02	38	33.11	1,400	1,100
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-08	38	33.125	1,600	200
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-09	38	33.19	2,100	500
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-10	38	33.25	3,100	1,000

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Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-13	38	33.24	3,300	200
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-15	38	33.16	3,500	200
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-17	38	33.21	3,600	100
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-20	38	32.812	4,100	500
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-21	38	32.419	5,000	900
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-22	38	32.903	5,800	800
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-23	38	33	6,500	700
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-29	38	33.874	7,200	700
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-29	38		700	-6,500
Guardian Capital Group Limited	Non-Voting Shares Class A	Guardian Capital Group Limited	1	2021-09-30	38	34	800	100
Gungnir Resources Inc.	Common Shares	Keast, Todd	4	2021-10-01	51	0.06	1,125,000	275,000
Gungnir Resources Inc.	Options	Keast, Todd	4	2021-10-01	51	0.06	1,300,000	-275,000
Gungnir Resources Inc.	Options	Macdonald, Garrett	4	2021-10-01	51	0.06		275,000
Gungnir Resources Inc.	Options	Macdonald, Garrett	4	2021-10-01	51	0.06	1,300,000	-275,000
Gungnir Resources Inc.	Common Shares	Paakki, Jari	5	2021-10-01	51	0.06	3,253,461	250,000
Gungnir Resources Inc.	Options	Paakki, Jari	5	2021-10-01	51	0.06	1,950,000	-250,000
Gungnir Resources Inc.	Options	Paakki, Jari	5	2021-10-01	52	0.06	1,300,000	-650,000
Gungnir Resources Inc.	Common Shares	Robbins, Christopher Charles	4	2021-10-01	51	0.06	2,371,227	450,000
Gungnir Resources Inc.	Common Shares	Robbins, Christopher Charles	4	1995-11-25	00			
Gungnir Resources Inc.	Common Shares	Robbins, Christopher Charles	4	2021-10-01	51	0.06	450,000	450,000
Gungnir Resources Inc.	Options	Robbins, Christopher Charles	4	2021-10-01	51	0.06	1,300,000	-900,000
H2O INNOVATION INC.	Options	HENTHORNE, LISA	4	2020-11-10	52		0	-8,000
H2O INNOVATION INC.	Options	HOEL, Richard	3, 4	2020-11-10	52		0	-8,000
Haivision Systems Inc.	Common Shares	Al-Daccak, Mahmoud Jawad	5	2021-09-16	10	8.0404	469,489	10,000
Haivision Systems Inc.	Common Shares	Al-Daccak, Mahmoud Jawad	5	2021-09-20	10	8.5011	479,489	10,000
Haivision Systems Inc.	Common Shares	Al-Daccak, Mahmoud Jawad	5	2021-09-21	10	8.2414	489,489	10,000
Haivision Systems Inc.	Rights Deferred Share Units	Levy II, Lee Kahn	4	2021-07-30	00			
Haivision Systems Inc.	Rights Deferred Share Units	Levy II, Lee Kahn	4	2021-09-14	56	8.47	2,951	2,951
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Met, Andreas Arnold Alfred	4, 5	2021-09-24	10	0.035	1,447,496	250,000
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2020-06-26	46	0.1		542,766
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2020-06-26	11	0.1	6,268,803	542,766
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2020-09-18	46	0.1		1,037,574
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2020-09-18	11	0.1	7,306,377	1,037,574
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2020-12-22	46	0.05		2,439,628
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2020-12-22	11	0.05	10,166,005	2,439,628

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Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2021-07-16	46	0.045		1,834,158
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2021-07-16	11	0.045	12,405,163	1,834,158
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2021-09-27	46	0.035		2,488,537
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2021-09-27	11	0.035	14,893,700	2,488,537
Halo Collective Inc. (formerly Halo Labs Inc.)	Common Shares	Sidhu, Kiranjit Singh	4	2021-10-08	10	0.02	15,893,700	1,000,000
Hamilton Thorne Ltd.	Common Shares	Driscoll, Blair	3	2021-10-06	10	1.6498	17,649,200	153,700
Hamilton Thorne Ltd.	Common Shares	Driscoll, Merrilyn Joy	3	2021-10-06	10	1.6498	17,649,200	153,700
Hamilton Thorne Ltd.	Common Shares	Driscoll, Sean	3	2021-10-06	10	1.6498	17,649,200	153,700
Hamilton Thorne Ltd.	Common Shares	FAX Capital Corp.	3	2021-10-06	10	1.6498	17,649,200	153,700
Hamilton Thorne Ltd.	Common Shares	FAX Investments Inc.	3	2021-10-06	10	1.6498	17,649,200	153,700
Hamilton Thorne Ltd.	Common Shares	Federated Capital Corp.	3	2021-10-06	10	1.6498	17,649,200	153,700
HANWEI ENERGY SERVICES CORP.	Options	LANG, FULAI	3, 4, 5	2021-10-01	50		2,750,000	500,000
Harte Gold Corp.	Common Shares	ANR Investments B.V.	3	2021-10-01	35		62,192,467	10,634,700
Harte Gold Corp.	Common Shares	Scherb, Michael	4	2021-10-01	35		62,192,467	10,634,700
HAVN Life Sciences Inc.	Common Shares	Clissold, Gordon Kenneth	5	2021-07-01	00			
HAVN Life Sciences Inc.	Common Shares	Clissold, Gordon Kenneth	5	2021-10-05	10	0.21	2,000	2,000
HAVN Life Sciences Inc.	Common Shares	Clissold, Gordon Kenneth	5	2021-10-05	10	0.205	13,500	11,500
HAVN Life Sciences Inc.	Options	Clissold, Gordon Kenneth	5	2021-07-01	00			
HAVN Life Sciences Inc.	Options	Clissold, Gordon Kenneth	5	2021-10-06	50		150,000	150,000
HAVN Life Sciences Inc.	Warrants	Laidler, Timothy Douglas	4	2020-06-04	00			
HAVN Life Sciences Inc.	Warrants	Laidler, Timothy Douglas	4	2021-10-06	53		900,000	900,000
HAVN Life Sciences Inc.	Warrants	Leong, Gary Joseph	5	2020-09-08	00			
HAVN Life Sciences Inc.	Warrants	Leong, Gary Joseph	5	2021-10-06	53		200,000	200,000
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-20	38	3.9454	1,521	1,521
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-21	38	3.9801	3,042	1,521
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-22	38	3.9111	4,563	1,521
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-23	38	3.85	6,084	1,521
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-24	38	3.96	7,605	1,521
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-27	38	3.9501	9,126	1,521
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-28	38	3.9014	10,647	1,521
Helios Fairfax Partners Corporation (formerly Fairfax Africa Holdings Corporation)	Subordinate Voting Shares	Fairfax Africa Holdings Corporation	1	2021-09-29	38		1,521	-9,126

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Hemisphere Energy Corporation	Common Shares	Cibolo Energy Partners I, L.P.	3	2017-09-15	00			
Hemisphere Energy Corporation	Common Shares	Cibolo Energy Partners I, L.P.	3	2021-09-29	54	0.28	2,299,851	2,299,851
Hemisphere Energy Corporation	Warrants September 2017 Warrants	Cibolo Energy Partners I, L.P.	3	2021-09-29	59		12,612,351	-1,137,649
Hemisphere Energy Corporation	Warrants September 2017 Warrants	Cibolo Energy Partners I, L.P.	3	2021-09-29	54		10,312,500	-2,299,851
Hempfusion Wellness Inc.	Common Shares	Andlinger, Merrick	4	2021-10-01	11	0.25	429,032	100,000
Hempfusion Wellness Inc.	Warrants	Andlinger, Merrick	4	2020-12-18	00			
Hempfusion Wellness Inc.	Warrants	Andlinger, Merrick	4	2021-10-01	11	0.25	100,000	100,000
Hempfusion Wellness Inc.	Common Shares	Visser, Minnekis Jonathan	5	2021-09-29	11	0.25	400,000	400,000
Hempfusion Wellness Inc.	Common Shares	Visser, Minnekis Jonathan	5	2020-12-18	00			
Hempfusion Wellness Inc.	Common Shares	Visser, Minnekis Jonathan	5	2021-09-29	11	0.25	100,000	100,000
Hempfusion Wellness Inc.	Warrants	Visser, Minnekis Jonathan	5	2020-12-18	00			
Hempfusion Wellness Inc.	Warrants	Visser, Minnekis Jonathan	5	2021-09-29	11	0.25	400,000	400,000
Hempfusion Wellness Inc.	Warrants	Visser, Minnekis Jonathan	5	2020-12-18	00			
Hempfusion Wellness Inc.	Warrants	Visser, Minnekis Jonathan	5	2021-09-29	11	0.25	100,000	100,000
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.35	100	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.39	400	300
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.4	600	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.405	800	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.41	1,400	600
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.42	1,600	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.43	1,900	300
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.45	2,800	900
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.46	3,000	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.49	3,017	17
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.5	3,117	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.55	3,517	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.56	3,617	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.585	4,017	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.6	4,617	600
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.61	10,117	5,500
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.65	10,317	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.68	10,417	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.69	10,517	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.74	10,717	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.75	11,417	700
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.775	11,817	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.785	12,017	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38	17.795	12,517	500
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-20	38		0	-12,517
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.51	100	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.62	1,200	1,100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.66	1,400	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.7	1,800	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.705	2,200	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.71	4,400	2,200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.74	4,700	300
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.8	5,200	500
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.9	5,300	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.93	5,600	300

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.98	5,700	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38	17.99	6,600	900
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-21	38		0	-6,600
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.75	100	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.76	600	500
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.79	800	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.8	900	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.82	3,000	2,100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.825	3,200	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.835	3,800	600
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.85	4,200	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38	17.86	4,500	300
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-22	38		0	-4,500
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-23	38	17.92	100	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-23	38		0	-100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38	18.25	200	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38	18.29	400	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38	18.3	900	500
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38	18.33	1,600	700
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38	18.34	1,800	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38	18.35	1,900	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38	18.4	2,100	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-24	38		0	-2,100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-27	38	18.095	600	600
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-27	38	18.16	1,000	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-27	38	18.18	1,300	300
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-27	38	18.25	1,400	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-27	38	18.3	1,600	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-27	38	18.17	1,800	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-27	38		0	-1,800
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.48	100	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.58	500	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.6	1,400	900
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.64	1,800	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.8	1,900	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.81	4,900	3,000
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.82	5,000	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	17.84	5,400	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	18	5,700	300
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38	18.23	5,900	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-28	38		0	-5,900
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.6	200	200
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.61	300	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.66	600	300
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.73	1,500	900
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.77	2,300	800
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.78	2,700	400
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.79	8,600	5,900
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38	17.8	8,700	100
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-29	38		0	-8,700
Heroux-Devtek Inc.	Common Shares	HØroux-Devtek inc.	1	2021-09-30	38	17.78	44,100	44,100

**Insider Reporting**

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Heroux-Devtek Inc.	Common Shares	H@roux-Devtek inc.	1	2021-09-30	38		0	-44,100
High Arctic Energy Services Inc.	Common Shares	mierendorf, lance	5	2021-10-01	00		15,000	
High Arctic Energy Services Inc.	Options	mierendorf, lance	5	2021-10-01	00		100,000	
High Liner Foods Incorporated	Common Shares	High Liner Foods Incorporated	1	2021-10-04	10	13	6,998	6,998
High Liner Foods Incorporated	Common Shares	High Liner Foods Incorporated	1	2021-10-04	38	13	0	-6,998
High Liner Foods Incorporated	Common Shares	High Liner Foods Incorporated	1	2021-10-05	10	13.118	800	800
High Liner Foods Incorporated	Common Shares	High Liner Foods Incorporated	1	2021-10-05	38	13.118	0	-800
High Liner Foods Incorporated	Common Shares	High Liner Foods Incorporated	1	2021-10-06	10	13.25	1,600	1,600
High Liner Foods Incorporated	Common Shares	High Liner Foods Incorporated	1	2021-10-06	38	13.25	0	-1,600
Hillcrest Energy Technologies Ltd. (formerly, Hillcrest Petroleum Ltd.)	Options	Farrell, David Paul	4	2021-09-16	00			
Hillcrest Energy Technologies Ltd. (formerly, Hillcrest Petroleum Ltd.)	Options	Farrell, David Paul	4	2021-10-07	50		500,000	500,000
HIRE Technologies Inc.	Common Shares	Cleary, Sean	4	2021-09-30	16	0.3	368,585	150,000
HIRE Technologies Inc.	Warrants	Cleary, Sean	4	2021-09-30	16	0.45	212,667	150,000
HIRE Technologies Inc.	Common Shares	Dealy, Simon Troy	5	2021-08-27	16	0.3	1,623,045	83,333
HIRE Technologies Inc.	Common Shares	Shahbazi, Hamed	4	2021-08-27	16	0.3	2,517,525	83,333
HIRE Technologies Inc.	Common Shares	Shahbazi, Hamed	4	2021-09-29	16	0.3	2,584,525	67,000
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-08-27	10	0.27	2,254,000	20,000
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-09-20	10	0.28	2,259,000	5,000
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-09-20	10	0.285	2,264,000	5,000
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-09-21	10	0.31	2,269,000	5,000
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-09-21	10	0.3	2,270,500	1,500
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-09-23	10	0.35	2,120,500	-150,000
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-09-23	10	0.3002	1,770,500	-350,000
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-10-05	10	0.345	1,773,000	2,500
HIRE Technologies Inc.	Common Shares	Sun, Nan (Jonson)	4	2021-10-06	10	0.345	1,780,500	7,500
HIVE Blockchain Technologies Ltd.	Common Shares	Ebel, Tobias	4	2021-10-06	57		312,500	62,500
HIVE Blockchain Technologies Ltd.	Restricted Share Units	Ebel, Tobias	4	2021-10-06	57		125,000	-62,500
HIVE Blockchain Technologies Ltd.	Common Shares	Holmes, Frank Edward	4	2021-10-06	57		632,500	62,500
HIVE Blockchain Technologies Ltd.	Restricted Share Units	Holmes, Frank Edward	4	2021-10-06	57		125,000	-62,500
HIVE Blockchain Technologies Ltd.	Common Shares	New, Marcus Arthur	4	2021-10-06	57		327,000	62,500
HIVE Blockchain Technologies Ltd.	Restricted Share Units	New, Marcus Arthur	4	2021-10-06	57		125,000	-62,500
HIVE Blockchain Technologies Ltd.	Common Shares	Perrill, Dave	4	2021-10-06	57		375,000	62,500
HIVE Blockchain Technologies Ltd.	Restricted Share Units	Perrill, Dave	4	2021-10-06	57		125,000	-62,500
Home Capital Group Inc.	Rights Deferred Share Units	Blowes, Robert	4	2021-09-29	56	37.248	22,827	1,040
Home Capital Group Inc.	Rights Deferred Share Units	Haggis, Paul	4	2021-09-29	56	37.248	27,365	520

**Insider Reporting**

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Home Capital Group Inc.	Rights Deferred Share Units	Hibben, Alan Roy	4	2021-09-29	56	37.248	51,972	1,779
Home Capital Group Inc.	Rights Deferred Share Units	HUTCHISON, SUSAN	4	2021-09-29	56	37.248	10,691	386
Home Capital Group Inc.	Rights Deferred Share Units	Lamoureux, Claude	4	2021-09-29	56	37.248	33,547	906
Home Capital Group Inc.	Rights Deferred Share Units	Lisson, James	4	2021-09-29	56	37.248	28,604	772
Home Capital Group Inc.	Rights Deferred Share Units	Rahnama, Hossein	4	2021-09-29	56	37.248	14,485	772
Home Capital Group Inc.	Rights Deferred Share Units	Ritchie, Melisa	4	2021-09-29	56	37.248	12,392	579
Home Capital Group Inc.	Rights Deferred Share Units	Sallows, Sharon	4	2021-09-29	56	37.248	34,844	1,040
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Albert, Mario	4	2021-09-30	56	71.04	1,435	504
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Chinery, William Frank	4	2021-09-30	56	71.04	780	477
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Daignault, Benoit	4	2021-09-30	56	71.04	3,815	209
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Darveau-Garneau, Nicolas	4	2021-09-30	56	71.04	8,381	657
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Griffin, Emma Kate	4	2021-09-30	56	71.04	4,497	589
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Maille, Ginette	4	2021-09-30	56	71.04	3,139	511
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Martin, Jacques	4, 5	2021-09-30	56	71.04	979	230
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Mercier, Monique	4	2021-09-30	56	71.04	5,206	459
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Morin, Danielle G.	4	2021-09-30	56	71.04	2,927	125
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Poulin, Marc	4	2021-09-30	56	71.04	4,997	348
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Rancourt, Suzanne	4	2021-09-30	56	71.04	895	547
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	TQu, Louis	4	2021-09-30	56	71.04	11,813	552
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Willisch, Ludwig Wilhelm	4	2021-07-08	00			
iA Financial Corporation Inc.	unites d'actions differees (uda)-Defered Share Units (DSU)	Willisch, Ludwig Wilhelm	4	2021-09-30	56	71.04	497	497
IGM Financial Inc.	Deferred Share Units	Bibeau, Marc A.	4	2021-07-30	30	44.03		702
IGM Financial Inc.	Deferred Share Units	Bibeau, Marc A.	4	2021-07-30	30	44.03		702
IGM Financial Inc.	Deferred Share Units	Bibeau, Marc A.	4	2021-07-30	30	44.03	56,658	703
IGM Financial Inc.	Deferred Share Units	Bibeau, Marc A.	4	2021-09-30	56	45.71	57,943	1,285
IGM Financial Inc.	Deferred Share Units	Doniz, Susan	4	2021-07-30	30	44.03	14,217	170
IGM Financial Inc.	Deferred Share Units	Doniz, Susan	4	2021-09-30	56	45.71	15,065	848
IGM Financial Inc.	Deferred Share Units	Hodgson, Sharon	4	2021-07-30	30	44.03	19,684	239
IGM Financial Inc.	Deferred Share Units	Hodgson, Sharon	4	2021-09-30	56	45.71	20,552	868

**Insider Reporting**

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IGM Financial Inc.	Deferred Share Units	McArthur, Susan J.	4	2021-07-30	30	44.03	18,975	227
IGM Financial Inc.	Deferred Share Units	McArthur, Susan J.	4	2021-09-30	56	45.71	19,946	971
IGM Financial Inc.	Deferred Share Units	McCallum, John S.	4	2021-07-30	30	44.03	75,161	935
IGM Financial Inc.	Deferred Share Units	McCallum, John S.	4	2021-09-30	56	45.71	75,571	410
IGM Financial Inc.	Deferred Share Units	O'Sullivan, James Patrick	4, 5	2021-07-30	30	44.03	3,040	28
IGM Financial Inc.	Deferred Share Units	O'Sullivan, James Patrick	4, 5	2021-09-30	56	45.71	3,860	820
IGM Financial Inc.	Deferred Share Units	Wilson, Elizabeth Diane	4	2021-07-30	30	44.03	14,645	174
IGM Financial Inc.	Deferred Share Units	Wilson, Elizabeth Diane	4	2021-09-30	56	45.71	15,465	820
IM Exploration Inc.	Common Shares	Nelson, Andrew	5	2021-10-04	00			
IM Exploration Inc.	Common Shares	Nelson, Andrew	5	2021-10-04	00		2,060,000	
IM Exploration Inc.	Common Shares	Nelson, Andrew	5	2021-10-05	10	0.1172	2,185,000	125,000
IM Exploration Inc.	Options	Nelson, Andrew	5	2021-10-04	00		300,000	
ImagineAR Inc.	Common Shares	Inwentash, Sheldon	4, 6	2021-10-08	10	0.11	50,000	50,000
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Multiple Voting Shares	Armour, Kyle William	5	2021-09-28	00		1,214,465	
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Multiple Voting Shares	Franco, Alberto	4	2021-09-28	00		162,423	
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Options	Franco, Alberto	4	2021-09-28	00		210,000	
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Multiple Voting Shares	Fried, Jordan Evan	3, 5	2021-09-28	00		58,902	
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Options	Long, Jeff	4	2021-09-28	00		170,000	
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Common Shares	Namdar, David	5	2021-09-28	00			
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Common Shares	Namdar, David	5	2021-09-28	00			
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Multiple Voting Shares	Namdar, David	5	2021-09-28	00		404,821	
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Multiple Voting Shares	Walters, Happy David	4	2021-09-24	00		2,428	
Immutable Holdings Inc. (Formerly Bexar Ventures Inc.)	Options	Walters, Happy David	4	2021-09-24	00		170,000	
IMPACT Silver Corp.	Options	GORZYNSKI, George Arthur	4	2021-10-08	50	0.48	1,175,000	300,000
IMPACT Silver Corp.	Options	Mazur, Richard James	4	2021-10-08	50	0.48	750,000	100,000
Imperial Metals Corporation	Common Shares	KYNOCH, J. BRIAN	4, 5	2021-10-05	30	3.56	1,467,129	1,683
Imperial Metals Corporation	Common Shares	Moeller, Larry G.	4	2021-10-07	30	4.09	3,433,220	1,757
Imperial Metals Corporation	Common Shares	North, Janine Marie	4	2021-10-07	30	4.09	5,640	2,108
Imperial Metals Corporation	Common Shares	Thompson, Randall	5	2021-10-05	30	3.56	11,854	1,226
Imperial Metals Corporation	Common Shares	Veitch, James Patrick	4	2021-10-07	30	4.09	41,666	1,757
Imperial Metals Corporation	Common Shares	YURKOWSKI, EDWARD ALFRED	4	2021-10-07	30	4.09	24,137	1,890
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2021-10-01	38	41.04	484,045,924	-99,065
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2021-10-04	38	41.67	483,946,859	-99,065
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2021-10-05	38	41.79	483,847,793	-99,066



**Insider Reporting**

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Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2021-10-06	38	41.06	483,748,728	-99,065
Imperial Oil Limited	Common Shares	Exxon Mobil Corporation	3	2021-10-07	38	41.81	483,649,663	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-01	38	33.241	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-01	38	33.241	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-01	38	33.31	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-01	38	33.31	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-02	38	34.191	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-02	38	34.191	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-02	38	34.46	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-02	38	34.46	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-03	38	34.439	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-03	38	34.439	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-03	38	34.32	99,066	99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-03	38	34.32	0	-99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-07	38	34.036	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-07	38	34.036	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-07	38	33.97	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-07	38	33.97	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-08	38	33.896	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-08	38	33.896	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-08	38	33.82	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-08	38	33.82	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-09	38	33.989	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-09	38	33.989	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-09	38	34.08	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-09	38	34.08	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-10	38	34.275	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-10	38	34.275	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-10	38	34.03	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-10	38	34.03	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-13	38	35.689	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-13	38	35.689	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-13	38	35.84	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-13	38	35.84	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-14	38	35.539	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-14	38	35.539	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-14	38	35.34	99,066	99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-14	38	35.34	0	-99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-15	38	36.181	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-15	38	36.181	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-15	38	36.1	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-15	38	36.1	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-16	38	35.592	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-16	38	35.592	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-16	38	35.5	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-16	38	35.5	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-17	38	34.913	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-17	38	34.913	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-17	38	34.59	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-17	38	34.59	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-20	38	33.825	43,270	43,270

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-20	38	33.825	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-20	38	34.01	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-20	38	34.01	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-21	38	34.686	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-21	38	34.686	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-21	38	35.15	99,066	99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-21	38	35.15	0	-99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-22	38	36.933	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-22	38	36.933	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-22	38	36.97	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-22	38	36.97	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-23	38	37.326	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-23	38	37.326	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-23	38	37.61	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-23	38	37.61	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-24	38	37.859	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-24	38	37.859	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-24	38	38.02	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-24	38	38.02	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-27	38	38.853	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-27	38	38.853	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-27	38	38.76	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-27	38	38.76	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-28	38	39.098	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-28	38	39.098	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-28	38	39.15	99,066	99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-28	38	39.15	0	-99,066
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-29	38	39.806	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-29	38	39.806	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-29	38	40.03	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-29	38	40.03	0	-99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-30	38	39.895	43,270	43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-30	38	39.895	0	-43,270
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-30	38	40.03	99,065	99,065
Imperial Oil Limited	Common Shares	Imperial Oil Limited	1	2021-09-30	38	40.03	0	-99,065
Imperial Oil Limited	Common Shares	Leyerzapf, Christopher Stephen	7	2021-10-01	00		10,330	
Imperial Oil Limited	Rights	Leyerzapf, Christopher Stephen	7	2021-10-01	00			
Imperial Oil Limited	Rights	Leyerzapf, Christopher Stephen	7	2021-10-01	00		4,400	
Inca One Gold Corp.	Common Shares	Bragagnolo, Bruce	4, 5	2021-09-29	10	0.37	60,000	-10,000
Inca One Gold Corp.	Common Shares	Bragagnolo, Bruce	4, 5	2021-09-30	10	0.38	40,000	-20,000
Inca One Gold Corp.	Common Shares	Bragagnolo, Bruce	4, 5	2021-10-01	10	0.38	20,000	-20,000
Inca One Gold Corp.	Common Shares	Bragagnolo, Bruce	4, 5	2021-10-04	10	0.395	10,000	-10,000
Inca One Gold Corp.	Common Shares	Bragagnolo, Bruce	4, 5	2021-10-05	10	0.35	0	-10,000
Indiva Limited	Common Shares	Marotta, John A.	4	2021-10-06	54	0.4	7,460,000	1,200,000
Indiva Limited	Warrants	Marotta, John A.	4	2021-10-06	54	0.4	456,000	-1,200,000
Indiva Limited	Warrants	Marotta, John A.	4	2021-10-06	53		1,056,000	600,000
Indiva Limited	Common Shares	Wilson, W. Brett	3	2020-08-10	00		3,634,444	
Indiva Limited	Common Shares	Wilson, W. Brett	3	2021-10-04	54	0.4	6,967,777	3,333,333
Indiva Limited	Warrants	Wilson, W. Brett	3	2020-08-10	00		3,333,333	
Indiva Limited	Warrants	Wilson, W. Brett	3	2021-10-04	54	0.4	0	-3,333,333

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Indiva Limited	Warrants	Wilson, W. Brett	3	2021-10-04	53		1,666,667	1,666,667
Inomin Mines Inc.	Options	Gomez-Garcia, Evilio Juan	4	2021-10-05	50	0.1	683,000	425,000
Inomin Mines Inc.	Common Shares	Peters, Lawrence John	4	2019-06-21	00			
Inomin Mines Inc.	Common Shares	Peters, Lawrence John	4	2019-06-21	50	0.05	300,000	300,000
Inomin Mines Inc.	Common Shares	Peters, Lawrence John	4	2021-08-10	11	0.125	340,000	40,000
Inomin Mines Inc.	Common Shares	Peters, Lawrence John	4	2021-10-05	50	0.1	540,000	200,000
Inomin Mines Inc.	Options	Pietrobon, George A.	4, 5	2018-12-17	52	0.1		96,000
Inomin Mines Inc.	Options	Pietrobon, George A.	4, 5	2018-12-17	52	0.1		96,000
Inomin Mines Inc.	Options	Pietrobon, George A.	4, 5	2018-12-17	52		155,000	-96,000
Inomin Mines Inc.	Options	Pietrobon, George A.	4, 5	2021-10-01	50	0.1	355,000	200,000
Inomin Mines Inc.	Options	Shack, Ari	4, 5	2021-10-05	50		451,000	200,000
Inomin Mines Inc.	Options	Yeomans, William	4	2021-10-01	50	0.1		200,000
Inomin Mines Inc.	Options	Yeomans, William	4	2021-10-05	50	0.1	200,000	200,000
Intellabridge Technology Corporation	Common Shares	Eagleton, John	3, 4, 5	2021-10-06	10	0.6766	12,025,000	3,000
Intellabridge Technology Corporation	Common Shares	Eagleton, John	3, 4, 5	2021-10-06	10	0.7	12,032,000	7,000
Interfor Corporation	Rights DSUs	Griffin, Christopher	4	2021-09-30	56		19,239	971
Interfor Corporation	Rights DSUs	HULL, JEANE	4	2021-09-30	56		45,803	583
Interfor Corporation	Rights DSUs	HUNTER, RHONDA	4	2021-09-30	56		13,056	583
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-01	38	26.563	865,680	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-02	38	27.323	954,270	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-03	38		177,180	-777,090
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-03	38	28.671	265,770	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-07	38	29.419	354,360	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-08	38	29.321	601,760	247,400
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-09	38	29.168	690,350	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-10	38	29.883	778,040	87,690
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-13	38	29.344	853,740	75,700
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-14	38		251,980	-601,760
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-14	38	27.771	281,980	30,000
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-15	38	27.242	311,980	30,000
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-16	38	27.576	336,980	25,000
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-17	38	28.059	459,980	123,000
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-17	38		148,000	-311,980
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-20	38	27.415	149,231	1,231
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-21	38	28.44	352,031	202,800
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-22	38	30.55	440,621	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-23	38	31.515	529,211	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-24	38	32.137	617,801	88,590
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-27	38		177,180	-440,621
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-27	38	33.4	399,480	222,300
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-28	38	32.92	399,517	37
Interfor Corporation	Common Shares	Interfor Corporation	1	2021-09-30	38		37	-399,480
Interfor Corporation	Rights SARs	LUXMOORE, SIMON BRUCE	5	2021-09-30	59		0	-10,219
Interfor Corporation	Rights DSUs	MacDougall, Gordon H	4	2021-09-30	56		104,026	583
Interfor Corporation	Rights DSUs	McMillan, James Eddie	4	2021-09-30	56		64,382	583
Interfor Corporation	Rights DSUs	Milroy, Thomas Voysey	4	2021-09-30	56		44,110	971
Interfor Corporation	Rights DSUs	Platt, Gillian L.	4	2021-09-30	56		24,574	583
Interfor Corporation	Rights DSUs	Sauder, E. Lawrence	4, 5	2021-09-30	56		107,686	1,166
Interfor Corporation	Rights DSUs	STEVENS, CURTIS	4	2021-09-30	56		29,797	971

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Interfor Corporation	Rights DSUs	Whitehead, Douglas William Geoffrey	4	2021-09-30	56		55,929	583
International Clean Power Dividend Fund	Trust Units	International Clean Power Dividend Fund	1	2021-10-01	38	8.9863	471,700	3,800
International Clean Power Dividend Fund	Trust Units	International Clean Power Dividend Fund	1	2021-10-04	38	8.8843	475,400	3,700
International Clean Power Dividend Fund	Trust Units	International Clean Power Dividend Fund	1	2021-10-05	38	8.8075	480,200	4,800
International Prospect Ventures Ltd. (formerly Uranium Valley Mines Ltd.)	Common Shares	Libenson, Jason	4	2021-10-05	10	0.155	180,000	1,000
International Prospect Ventures Ltd. (formerly Uranium Valley Mines Ltd.)	Common Shares	Libenson, Jason	4	2021-10-05	10	0.155	182,300	2,300
Intertape Polymer Group Inc.	Deferred Share Units	Beil, Robert	4	2021-09-30	56	28.49	53,181	400
Intertape Polymer Group Inc.	Deferred Share Units	Cawston, Christopher Robert	4	2021-09-30	56	28.49	9,966	75
Intertape Polymer Group Inc.	Deferred Share Units	Craighead, Jane	4	2021-09-30	56	28.49	10,048	76
Intertape Polymer Group Inc.	Deferred Share Units	DiTomaso, Frank	4	2021-09-30	56	28.49	46,464	349
Intertape Polymer Group Inc.	Deferred Share Units	Foster, Robert J	4	2021-09-30	56	28.49		536
Intertape Polymer Group Inc.	Deferred Share Units	Foster, Robert J	4	2021-09-30	56	28.49	75,470	567
Intertape Polymer Group Inc.	Deferred Share Units	Granovsky, Dahra Granovsky	4	2021-09-30	56	28.49	23,151	174
Intertape Polymer Group Inc.	Deferred Share Units	Pantelidis, James	4	2021-09-30	56	28.49		319
Intertape Polymer Group Inc.	Deferred Share Units	Pantelidis, James	4	2021-09-30	56	28.49	46,498	350
Intertape Polymer Group Inc.	Deferred Share Units	Quintas, Jorge Nelson	4	2021-09-30	56	28.49	80,381	604
Intertape Polymer Group Inc.	Deferred Share Units	Salomone, Mary Patricia	4	2021-09-30	56	28.49	41,088	309
Intertape Polymer Group Inc.	Deferred Share Units	Yull, Melbourne F.	4	2021-09-30	56	28.49	55,988	421
Intouch Insight Ltd.	Common Shares	Brohman, Paul	5	2021-05-28	10	0.32		-10,000
Intouch Insight Ltd.	Common Shares	Brohman, Paul	5	2021-05-28	10	0.32		-10,000
Intouch Insight Ltd.	Common Shares	Brohman, Paul	5	2021-10-05	57	0.69	40,469	20,469
Intouch Insight Ltd.	Common Shares	Brohman, Paul	5	2021-10-05	57	0.69		20,469
Intouch Insight Ltd.	Common Shares	Brohman, Paul	5	2021-10-05	57	0.69		20,469
Intouch Insight Ltd.	Rights RSU	Brohman, Paul	5	2021-10-05	36	0.69	18,895	-20,469
Intouch Insight Ltd.	Rights RSU	Brohman, Paul	5	2021-10-05	59	0.69	0	-18,895
Intouch Insight Ltd.	Rights RSU	Brohman, Paul	5	2021-10-05	36	0.69		-20,469
Intouch Insight Ltd.	Rights RSU	Brohman, Paul	5	2021-10-05	36	0.69		-20,469
Intouch Insight Ltd.	Common Shares	Chailler, Andree-Anne	5	2021-10-05	57	0.69	65,921	15,921
Intouch Insight Ltd.	Rights RSU	Chailler, Andree-Anne	5	2021-10-05	36	0.69	14,696	-15,921
Intouch Insight Ltd.	Rights RSU	Chailler, Andree-Anne	5	2021-10-05	59	0.69	0	-14,696
Intouch Insight Ltd.	Common Shares	Gaffney, Michael John	5	2021-10-05	36		1,550,228	50,467
Intouch Insight Ltd.	Common Shares	Gaffney, Michael John	5	2021-10-05	36		1,499,761	-50,467
Intouch Insight Ltd.	Common Shares	Newby, David Anthony	5	2021-10-05	57	0.69	69,695	18,195
Intouch Insight Ltd.	Rights RSU	Newby, David Anthony	5	2021-10-05	36	0.69	16,795	-18,195
Intouch Insight Ltd.	Rights RSU	Newby, David Anthony	5	2021-10-05	59	0.69	0	-16,795
Intouch Insight Ltd.	Common Shares	Oliver, William	4	2021-10-05	57	0.69	75,233	25,233
Intouch Insight Ltd.	Rights RSU	Oliver, William	4	2021-10-05	36	0.69	0	-25,233
Intouch Insight Ltd.	Common Shares	Paduch, Rainer	4	2021-10-07	57	0.69	456,448	21,448

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Intouch Insight Ltd.	Rights RSU	Paduch, Rainer	4	2021-10-07	36	0.69		-25,233
Intouch Insight Ltd.	Rights RSU	Paduch, Rainer	4	2021-10-07	36	0.69	3,785	-21,448
Intouch Insight Ltd.	Rights RSU	Paduch, Rainer	4	2021-10-07	59	0.69	0	-3,785
Intouch Insight Ltd.	Common Shares	Smith, Catherine	5	2021-10-05	57	0.69	17,714	17,714
Intouch Insight Ltd.	Rights RSU	Smith, Catherine	5	2021-10-05	36	0.69	21,650	-17,714
Intouch Insight Ltd.	Rights RSU	Smith, Catherine	5	2021-10-05	59	0.69	0	-21,650
Intouch Insight Ltd.	Common Shares	van Kesteren, Elisabeth Anne	5	2021-10-01	00		1,005,000	
Intouch Insight Ltd.	Common Shares	Watt, Cameron James	4, 5	2021-10-05	57	0.69	1,968,842	55,356
Intouch Insight Ltd.	Rights RSU	Watt, Cameron James	4, 5	2021-10-05	36	0.69	67,657	-55,356
Intouch Insight Ltd.	Rights RSU	Watt, Cameron James	4, 5	2021-10-05	59	0.69	0	-67,657
Inventus Mining Corp.	Common Shares	Spears, Stephan Michael Seydegart	6	2021-10-04	54	0.17	1,509,030	100,000
Inventus Mining Corp.	Common Shares	Spears, Stephan Michael Seydegart	6	2021-10-07	10	0.1575	1,539,030	30,000
Inventus Mining Corp.	Warrants	Spears, Stephan Michael Seydegart	6	2021-10-04	54	0.17	90,529	-100,000
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Benbow, Bradley	4	2021-09-30	56		133,901	9,828
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Faber, Michael Alan	4	2021-08-10	00			
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Faber, Michael Alan	4	2021-09-30	56		5,653	5,653
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Hawkins, Shaun	4	2021-09-30	56		76,896	5,586
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Steinel, Gail Patricia	4	2021-08-10	00			
Invesque Inc. (formerly, Mainstreet Health Investments Inc.)	Rights Deferred Share Units	Steinel, Gail Patricia	4	2021-09-30	56		2,826	2,826
Ivanhoe Mines Ltd.	Options	Friedland, Robert Martin	3, 4, 6, 5	2021-09-30	50		2,465,862	66,096
Jade Power Trust (formerly Blockchain Power Trust)	Trust Units	Jade Power Trust	1	2021-10-01	38	2.4373	1,096,532	175,000
Jade Power Trust (formerly Blockchain Power Trust)	Trust Units	Jade Power Trust	1	2021-10-01	38	2.1093	1,111,532	15,000
Jericho Energy Ventures Inc. (fka Jericho Oil Corporation)	Common Shares	Graves, Michael	3	2021-10-01	10	0.5	16,956,400	10,000
Josemaria Resources Inc.	Common Shares	Lorito Holdings S.a.r.l.	3	2021-10-06	11		62,426,038	122,559
Josemaria Resources Inc.	Common Shares	Zebra Holdings and Investments S.a.r.l.	3	2021-10-06	11		86,539,851	9,200
Jura Energy Corporation	Restricted Share Unit	Akerfeldt, Stephen Carl	4	2021-10-06	50	0.39	462,202	16,025
Jura Energy Corporation	Restricted Share Unit	Elliott, Timothy M.	4	2021-10-06	50	0.39	736,754	24,182
Jura Energy Corporation	Restricted Share Unit	Turner, Francis John	4	2021-10-06	50	0.39	462,202	16,025
Karora Resources Inc.	Common Shares	Kei, Wendy Wai Ting	4	2021-09-29	10	3.17	3,052	-4,061
Kinco Copper Limited	Options	Holliday, John	4	2021-10-01	50	0.18	1,565,999	1,003,824
Kinco Copper Limited	Options	Liang, Yuying	5	2020-11-24	00			
Kinco Copper Limited	Options	Liang, Yuying	5	2021-10-01	50	0.18	263,256	263,256
Kinco Copper Limited	Options	Marks, Lewis	4	2021-10-01	50	0.18	427,091	268,912
Kinco Copper Limited	Options	McRae, Cameron	4	2021-10-01	50	0.18	2,870,898	1,993,509
Kinco Copper Limited	Options	Nadarajah, Rayhan	4	2021-10-01	50	0.18	1,423,636	979,232
Kinco Copper Limited	Options	Spring, Jonathan (Sam)	5	2021-10-01	50	0.18	3,218,394	1,767,582
Kinross Gold Corporation	Rights Deferred Share Units	Atkinson, Ian	4	2021-09-30	46	6.79	172,816	8,284

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Kinross Gold Corporation	Rights Deferred Share Units	Dyte, Kerry Don	4	2021-09-30	46	6.79	91,966	5,063
Kinross Gold Corporation	Rights Deferred Share Units	Ives, Glenn Antony	4	2021-09-30	46	6.79	24,980	5,615
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-01	38	6.0063	316,300	160,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-02	38	5.975	440,479	124,179
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-07	38	6.0156	690,479	250,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-08	38	5.9274	875,479	185,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-09	38	5.8518	1,102,079	226,600
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-10	38	5.7848	1,238,679	136,600
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-13	38	5.8401	1,393,679	155,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-14	38	5.8596	1,547,179	153,500
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-15	38	5.8699	1,693,679	146,500
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-16	38	5.5381	1,863,679	170,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-17	38	5.4896	2,027,679	164,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-20	38	5.3869	2,194,679	167,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-21	38	5.5436	2,356,679	162,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-22	38	5.5326	2,519,279	162,600
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-23	38	5.3506	2,687,279	168,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-24	38	5.3309	2,856,079	168,800
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-27	38	5.3293	3,023,240	167,161
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-28	38	5.2839	3,193,240	170,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-29	38		170,000	-3,023,240
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-29	38	5.2286	340,000	170,000
Kinross Gold Corporation	Common Shares	Kinross Gold Corporation	1	2021-09-30	38	5.3631	506,000	166,000
Kinross Gold Corporation	Rights Deferred Share Units	Lethbridge, Ave Gabriella	4	2021-09-30	46	6.79	222,865	5,247
Kinross Gold Corporation	Rights Deferred Share Units	McGregor, Elizabeth Dianne	4	2021-09-30	46	6.79	40,712	6,076
Kinross Gold Corporation	Rights Deferred Share Units	McLeod-Seltzer, Catherine	4	2021-09-30	46	6.79	326,180	8,836
Kinross Gold Corporation	Rights Deferred Share Units	Osborne, Kelly	4	2021-09-30	46	6.79	287,821	10,493
Kinross Gold Corporation	Rights Deferred Share Units	Scott, David Arthur	4	2021-09-30	46	6.79	69,297	7,594
Kirkland Lake Gold Ltd.	Rights Deferred Share Unit	Gill, Jonathan	4	2021-10-01	56	53.474	29,167	269
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-08-23	10	49.77	150,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-15	10	54.62	250,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-16	10	52.5	300,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-17	38		50,000	-250,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-17	10	52.15	100,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-20	10	52.94	150,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-21	10	53.92	200,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-22	10	54.31	250,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-23	10	53.58	300,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-24	10	53.93	350,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-24	38		100,000	-250,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-27	10	56.39		50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-27	10	56.39		50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-27	10	56.39	150,000	50,000
Kirkland Lake Gold Ltd.	Common Shares	Kirkland Lake Gold Ltd.	1	2021-09-29	38		0	-150,000
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		25,331	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		25,331	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		169,041	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-08-24	10	3.4933	201,041	32,000
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-09-09	10	3.5545	241,041	40,000
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-09-30	10	4.6	262,041	21,000
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		752,226	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		25,331	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		25,331	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		4,727,650	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-08-24	10	3.4933		32,000
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-09-09	10	3.5545		40,000
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		2,036,964	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		869,559	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00		638,691	
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Common Shares	Hardy, Roger	3, 4, 5	2021-01-12	00			
Kits Eyecare Ltd.	Options	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Options	Hardy, Roger	3, 4, 5	2021-01-12	00		345,000	
Kits Eyecare Ltd.	Rights Restricted Share Rights	Hardy, Roger	3, 4, 5	2018-10-19	00			
Kits Eyecare Ltd.	Rights Restricted Share Rights	Hardy, Roger	3, 4, 5	2021-01-12	00		9,706	
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-14	38	5.2493		7,315
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-14	38	5.2493		7,315
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-14	38	5.2493	7,315	7,315
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-15	38	5.2351		615
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-15	38	5.2351	7,930	615
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-17	38	5.2303		80,015
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-17	38	5.2303	87,945	80,015
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-20	38	5.2226		80,015
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-20	38	5.2226	167,960	80,015
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-21	38	5.2313		57,115
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-21	38	5.2313	225,075	57,115
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-22	38	5.2414		6,915
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-22	38	5.2414	231,990	6,915
Knight Therapeutics Inc.	Common Shares	Knight Therapeutics Inc.	1	2021-09-30	38		0	-231,990
Komo Plant Based Foods Inc. (formerly Fasttask Technologies Inc.)	Common Shares	Rajasooriar, Angelo Roshanthan	4	2020-11-09	00			
Komo Plant Based Foods Inc. (formerly Fasttask Technologies Inc.)	Common Shares	Rajasooriar, Angelo Roshanthan	4	2021-10-01	51	0.12	25,000	25,000
Komo Plant Based Foods Inc. (formerly Fasttask Technologies Inc.)	Common Shares	Rajasooriar, Angelo Roshanthan	4	2021-10-01	10	0.23	0	-25,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Komo Plant Based Foods Inc. (formerly Fasttask Technologies Inc.)	Options	Rajasooriar, Angelo Roshanthan	4	2021-10-01	51		475,000	-25,000
Komo Plant Based Foods Inc. (formerly Fasttask Technologies Inc.)	Common Shares	White, Penny Olga	3, 4	2021-09-29	10	0.275	6,279,900	50,000
KORE Mining Ltd.	Common Shares	1130447 BC LTD	3	2021-09-27	10	0.37	22,574,985	143,000
KWG Resources Inc.	Convertible Debentures (2 Multiple Voting Shares and 1 Warrant (MVS))	Sheldon, Donald A.	4	2014-04-08	00			
KWG Resources Inc.	Convertible Debentures (2 Multiple Voting Shares and 1 Warrant (MVS))	Sheldon, Donald A.	4	2021-10-07	16	55660	\$55,660	\$55,660
Labrador Iron Mines Holdings Limited	Rights Restricted Share Units	Coon Come, Matthew	4, 5	2021-09-30	56		100,563	33,784
Labrador Iron Mines Holdings Limited	Rights Restricted Share Units	Cunningham, Eric Wallace	1	2021-09-30	56		100,563	33,784
Labrador Iron Mines Holdings Limited	Rights Restricted Share Units	Gauthier, Gerald John	4	2021-09-30	56		100,563	33,784
Labrador Iron Mines Holdings Limited	Rights Restricted Share Units	Hooley, Derek William	4, 5	2021-09-30	56		100,563	33,784
Labrador Iron Mines Holdings Limited	Rights Restricted Share Units	Lynch, Brendan	4	2021-09-30	56		100,563	33,784
Labrador Iron Mines Holdings Limited	Rights Restricted Share Units	Varma, Danesh Kumar	4	2021-09-30	56		100,563	33,784
LeanLife Health Inc.	Common Shares	Barakat, Mohamed Anis	5	2021-09-27	00			
LeanLife Health Inc.	Common Shares	Cruz, Daniel	5	2021-09-13	00		300,000	
LeanLife Health Inc.	Common Shares	Cruz, Daniel	5	2021-09-29	10	0.07	400,000	100,000
LeanLife Health Inc.	Common Shares	Cruz, Daniel	5	2021-09-13	00		300,000	
LeanLife Health Inc.	Options	Cruz, Daniel	5	2021-09-13	00		2,200,000	
Leucrotta Exploration Inc.	Options	Brussa, John Albert	4	2021-10-01	52		160,000	-40,000
Leucrotta Exploration Inc.	Options	Chicoine, Nolan Gregory	5	2021-10-01	52	0.93	1,406,000	-166,000
Leucrotta Exploration Inc.	Options	Cochrane, Peter James Roy	5	2021-10-01	52	0.93	1,282,000	-142,000
Leucrotta Exploration Inc.	Options	Cowie, Donald	4	2021-10-01	52	0.93	260,000	-40,000
Leucrotta Exploration Inc.	Options	Eckert, Helmut	5	2021-10-01	52	0.93	1,306,000	-166,000
Leucrotta Exploration Inc.	Options	Gilbert, Daryl Harvey	4	2021-10-01	52	0.93	270,000	-40,000
Leucrotta Exploration Inc.	Options	Krausert, Brian Murray	4	2021-10-01	52	0.93	260,000	-40,000
Leucrotta Exploration Inc.	Options	Medvedic, Tom	4	2021-10-01	52	0.93	260,000	-40,000
Leucrotta Exploration Inc.	Options	Peterson, Greg	5	2021-10-01	52	0.93	80,000	-15,000
Leucrotta Exploration Inc.	Options	Sereda, Richard Douglas	5	2021-10-01	52	0.93	1,310,000	-210,000
Leucrotta Exploration Inc.	Options	Trudeau, Terry	5	2021-10-01	52	0.93	2,433,000	-318,000
Leucrotta Exploration Inc.	Options	Zakresky, Robert John	5	2021-10-01	52	0.93	3,533,000	-318,000
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Geisler, Mitchell	3, 4, 6, 5	2020-12-07	00		6,878,993	
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Landau, Robert	4, 6, 5	2021-10-08	10	0.22	5,188,562	45,000
Leveljump Healthcare Corp. (formerly Good2Go2 Corp.)	Common Shares	Landau, Robert	4, 6, 5	2020-12-07	00		6,878,993	
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Everett, Calvin Clovis	5	2021-09-30	57		8,054,500	50,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Rights RSUs	Everett, Calvin Clovis	5	2021-09-30	57		628,448	-50,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	McInnes, Donald Arthur	4	2021-10-01	50	0.87	433,042	12,931



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Common Shares	Tetzlaff, Sean Allan	4	2021-10-04	54	0.6	2,800,265	250,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Warrants	Tetzlaff, Sean Allan	4	2021-10-04	54	0.6	0	-250,000
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.03	1,018,141	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.09	1,018,541	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.12	1,018,641	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.13	1,018,941	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.17	1,019,641	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.18	1,020,341	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.19	1,020,741	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.2	1,020,841	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.24	1,020,941	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.3	1,021,141	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.34	1,021,241	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.35	1,021,841	600
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.36	1,022,241	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.365	1,022,441	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.37	1,022,641	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.38	1,022,741	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.39	1,022,941	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.4	1,023,641	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.41	1,023,741	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.415	1,024,041	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.42	1,024,141	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.425	1,024,841	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.43	1,025,941	1,100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.44	1,026,241	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.45	1,027,141	900
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.455	1,027,241	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.46	1,027,341	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.47	1,027,741	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.48	1,028,041	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-27	10	7.5	1,028,741	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.84	1,028,841	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.85	1,029,041	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.87	1,029,141	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.89	1,029,341	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.92	1,029,441	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.94	1,029,841	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.945	1,029,941	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.96	1,030,141	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.97	1,030,341	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.98	1,030,441	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	6.99	1,030,741	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7	1,031,441	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.01	1,031,541	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.02	1,031,741	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.03	1,031,941	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.05	1,032,041	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.1	1,032,141	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.11	1,032,241	100

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.12	1,032,341	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.15	1,032,841	500
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.16	1,033,041	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.165	1,033,641	600
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.17	1,033,841	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.175	1,033,941	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.18	1,034,341	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.19	1,034,441	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.2	1,034,741	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.205	1,034,841	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.21	1,034,941	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.215	1,035,041	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.22	1,035,141	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.23	1,035,341	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.24	1,035,941	600
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.25	1,037,241	1,300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.26	1,037,641	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.27	1,037,841	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.275	1,038,141	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.28	1,038,341	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.285	1,038,441	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.29	1,038,641	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.3	1,039,341	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-28	10	7.34	1,039,441	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.03	1,039,641	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.04	1,039,741	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.05	1,039,841	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.06	1,040,041	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.07	1,040,241	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.08	1,040,641	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.09	1,041,241	600
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.1	1,041,741	500
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.11	1,041,941	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.12	1,042,341	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.13	1,043,341	1,000
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.14	1,043,841	500
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.15	1,044,141	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.17	1,044,241	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.19	1,045,941	1,700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.2	1,046,141	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.21	1,046,441	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.22	1,047,141	700
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.23	1,047,741	600
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.24	1,049,241	1,500
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.25	1,049,741	500
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.255	1,050,641	900
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.26	1,051,641	1,000
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.265	1,052,141	500
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.275	1,052,241	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.285	1,052,541	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.3	1,053,041	500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.31	1,053,341	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.315	1,053,441	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.32	1,053,641	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.3525	1,053,741	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.33	1,053,941	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.335	1,054,041	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.34	1,054,441	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.35	1,054,741	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.355	1,054,841	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.37	1,054,941	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.395	1,055,041	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-29	10	7.45	1,055,141	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	6.98	1,055,241	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	6.99	1,055,441	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.05	1,055,641	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.07	1,055,741	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.16	1,055,841	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.17	1,055,941	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.18	1,056,141	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.19	1,056,241	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.22	1,056,641	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.34	1,056,841	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.35	1,056,941	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.36	1,057,241	300
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.37	1,057,441	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.4	1,057,541	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.42	1,057,741	200
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.44	1,057,841	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.46	1,058,241	400
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.48	1,058,341	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.59	1,058,441	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-09-30	10	7.6	1,058,541	100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-10-04	10	7.24		100
LifeSpeak Inc.	Common Shares	Held, Michael Stuart	3, 4, 5	2021-10-04	10	7.24		600
Lightspeed Commerce Inc.	Rights Deferred stock units	Lamothe, Marie Josee	4	2021-10-01	56	133.71	3,824	354
Lightspeed Commerce Inc.	Rights Deferred stock units	McFeeters, Paul Joseph	4	2021-10-01	56	133.71	8,056	366
Lightspeed Commerce Inc.	Rights Deferred stock units	Saintil, Merline	4	2021-10-01	56	133.71	3,350	354
Lightspeed Commerce Inc.	Rights Deferred stock units	Williams, Robert Vaughan	4	2021-10-01	56	133.71	4,806	209
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Clyburn, Mignon L	4	2021-10-01	46	14.17	6,346	932
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Clyburn, Mignon L	4	2021-10-01	46	12.95	6,957	1,019
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Crawford, Gordon	4	2021-10-01	46	14.17	264,243	1,059
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	2021-10-01	46	12.95	1,033,017	1,158
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Fine, Emily	4	2021-10-01	46	14.17	17,201	1,030
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Fine, Emily	4	2021-10-01	46	12.95	18,313	1,127

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Goldsmith, Brian	5	2021-10-05	16		598,954	16,105
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Goldsmith, Brian	5	2021-10-05	38	13.58	590,969	-7,985
LIONS GATE ENTERTAINMENT CORP.	Options Non-qualified Stock Options (right to buy)	Goldsmith, Brian	5	2012-10-01	00			
LIONS GATE ENTERTAINMENT CORP.	Options Non-qualified Stock Options (right to buy)	Goldsmith, Brian	5	2021-10-05	50	18.11	52,562	52,562
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	McCaw, Susan	4	2021-10-01	46	14.17	17,097	540
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	McCaw, Susan	4	2021-10-01	46	12.95	13,058	591
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Ostolaza, Yvette	4	2021-10-01	46	14.17	18,002	1,108
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Ostolaza, Yvette	4	2021-10-01	46	12.95	10,061	1,212
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Rachesky, Dr. Mark H.	3, 4, 6	2021-10-01	46	14.17	59,287	1,157
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Rachesky, Dr. Mark H.	3, 4, 6	2021-10-01	46	12.95	61,347	1,266
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	Simm, Daryl	4	2021-10-01	46	14.17	51,666	579
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Simm, Daryl	4	2021-10-01	46	12.95	52,796	633
LIONS GATE ENTERTAINMENT CORP.	Common Shares Class A Voting	SIMMONS, HARDWICK	4	2021-10-01	46	14.17	60,316	623
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	SIMMONS, HARDWICK	4	2021-10-01	46	12.95	61,488	681
Loblaw Companies Limited	Rights - Deferred Share Units	Binning, Paviter Singh	4, 6	2021-10-01	30		7,530	32
Loblaw Companies Limited	Rights - Deferred Share Units	Bonham, Scott Barclay	4	2021-10-01	30		16,646	70
Loblaw Companies Limited	Rights - Deferred Share Units	Bryant, Warren	4	2021-10-01	30		32,235	137
Loblaw Companies Limited	Rights - Deferred Share Units	Clark, Christie James Beckett	4	2021-10-01	30		11,128	47
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2015-06-09	00			
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2021-10-02	11		5,450	5,450
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2021-10-02	11		0	-5,450
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2015-06-09	00			
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2021-10-02	11		5,450	5,450
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2021-10-02	11		0	-5,450
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2021-10-02	11		5,450	-5,450
Loblaw Companies Limited	Common Shares	DalGLISH, Camilla H.	7	2021-10-02	11		0	-5,450
Loblaw Companies Limited	Rights - Deferred Share Units	Debow, Daniel Andrew	4	2021-10-01	30		3,892	17
Loblaw Companies Limited	Rights - Deferred Share Units	Downe, William	4	2021-10-01	30		13,570	57
Loblaw Companies Limited	Rights - Deferred Share Units	Fukakusa, Janice Rose	4	2021-10-01	30		7,344	31
Loblaw Companies Limited	Rights - Deferred Share Units	Harris, M. Marianne	4	2021-10-01	30		18,475	78
Loblaw Companies Limited	Rights - Deferred Share Units	Kotchka, Claudia	4	2021-10-01	30		17,962	76
Loblaw Companies Limited	Rights - Deferred Share Units	Lacey, John Stewart	7	2021-10-01	30		45,528	193
Loblaw Companies Limited	Common Shares	Loblaw Companies Limited	1	2021-09-01	38	89.223	293,690	100,000

**Insider Reporting**

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Loblaw Companies Limited	Common Shares	Loblaw Companies Limited	1	2021-09-01	38	89.11	403,749	110,059
Loblaw Companies Limited	Common Shares	Loblaw Companies Limited	1	2021-09-02	38	89.709	455,892	52,143
Loblaw Companies Limited	Common Shares	Loblaw Companies Limited	1	2021-09-02	38	89.57	510,607	54,715
Loblaw Companies Limited	Common Shares	Loblaw Companies Limited	1	2021-09-15	38		0	-510,607
Loblaw Companies Limited	Rights - Deferred Share Units	Lockhart, Nancy	3	2021-10-01	30		66,014	281
Loblaw Companies Limited	Rights - Deferred Share Units	Pritchard, Beth Marie	4	2021-10-01	30		31,519	134
Loblaw Companies Limited	Rights - Deferred Share Units	Raiss, Sarah	4	2021-10-01	30		44,251	188
Logistec Corporation	Rights Deferred Share Units	Dodson, Michael J.	4	2021-10-01	56	42.73	2,781	994
Logistec Corporation	Rights Deferred Share Units	Foltz, Curtis Jay	4	2021-10-01	56	42.73	3,544	965
Logistec Corporation	Rights Deferred Share Units	GUGELMANN, GEORGE	4	2021-10-01	56	42.73	6,311	994
Logistec Corporation	Rights Deferred Share Units	PAQUIN, NICOLE	4, 6, 7	2001-08-18	00			
Logistec Corporation	Rights Deferred Share Units	PAQUIN, NICOLE	4, 6, 7	2021-10-01	56	42.73	497	497
Logistec Corporation	Rights Deferred Share Units	Rodger, Jonathan Mark	4	2021-10-01	56	42.73	6,084	1,170
Logistec Corporation	Rights Deferred Share Units	St-Pierre, Dany	4	2021-10-01	56	42.73	2,394	497
Logistec Corporation	Rights Deferred Share Units	Villeneuve, Luc	4	2021-10-01	56	42.73	2,757	1,053
Lucara Diamond Corp.	Options	Mchive, Johane	7	2021-09-13	52		299,000	-50,000
Lucky Minerals Inc.	stock options	dykes, shaun methven	4	2021-10-01	50	0.1	615,000	300,000
Lucky Minerals Inc.	stock options	Mann, Diane	5	2021-10-01	50	0.1	400,000	350,000
Lucky Minerals Inc.	stock options	McDowall, Roy	4	2021-10-01	00			
Lucky Minerals Inc.	stock options	McDowall, Roy	4	2021-10-01	00		400,000	
Lucky Minerals Inc.	stock options	Perron, Francois	4	2021-10-01	50	0.1	3,000,000	1,805,000
Lumina Gold Corp.	Common Shares	Beaty, Ross J.	3	2021-10-06	36	0.6	74,737,835	8,666,666
Lumina Gold Corp.	Common Shares	Braaten, Lyle	4	2021-10-06	11	0.6	180,290	75,000
Lumina Gold Corp.	Common Shares	Hathaway, Peter Leofric	5	2021-10-06	11	0.6	254,596	85,000
Lumina Gold Corp.	Common Shares	Hicks, Scott Victor Andrew	5	2021-10-06	11	0.6	205,000	75,000
Lumina Gold Corp.	Common Shares	Koval, Marshall	4	2021-10-06	11	0.6	11,953,439	166,500
Lumina Gold Corp.	Common Shares	Rip, Martin Raymond Danziger	5	2021-10-06	11	0.6	3,669,000	34,000
Lumina Gold Corp.	Common Shares	STOW, STEPHEN WILLIAM CANNING	4, 5	2021-10-06	11	0.6	951,500	166,500
Lundin Gold Inc.	Common Shares	Lundin, Lukas Henrik	4, 5	2021-10-08	51	12.6	704,984	19,363
Lundin Gold Inc.	Common Shares	Lundin, Lukas Henrik	4, 5	2021-10-08	51	10.42	727,484	22,500
Lundin Gold Inc.	Common Shares	Lundin, Lukas Henrik	4, 5	2021-10-08	57		734,984	7,500
Lundin Gold Inc.	Options	Lundin, Lukas Henrik	4, 5	2021-10-08	51	12.6	22,500	-19,363
Lundin Gold Inc.	Options	Lundin, Lukas Henrik	4, 5	2021-10-08	51	10.42	0	-22,500
Lundin Gold Inc.	Rights Deferred Share Units	Lundin, Lukas Henrik	4, 5	2021-10-08	57		0	-7,500
Lupaka Gold Corp.	Warrants	Ellis, Gordon Lloyd	4, 5	2018-06-30	55	0.2	1,048,491	-250,000
Lupaka Gold Corp.	Warrants	Ellis, Gordon Lloyd	4, 5	2018-12-31	55	0.1	677,778	-370,713
Lupaka Gold Corp.	Warrants	Ellis, Gordon Lloyd	4, 5	2020-05-24	55	0.23	2,444,444	-66,667
Lupaka Gold Corp.	Warrants	Ellis, Gordon Lloyd	4, 5	2020-06-30	55	0.18	1,833,333	-611,111
Lupaka Gold Corp.	Warrants	Ellis, Gordon Lloyd	4, 5	2021-09-13	55	0.1	0	-1,833,333

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Madison Pacific Properties Inc.	Common Shares Class B Voting	Madison Venture Corporation	3	2006-09-08	00			
Madison Pacific Properties Inc.	Common Shares Class B Voting	Madison Venture Corporation	3	2021-09-30	45	6.5	99,928	99,928
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Madison Venture Corporation	3	2006-09-08	00			
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Madison Venture Corporation	3	2021-09-30	45	5.8	792,046	792,046
MAG Silver Corp.	DSU	Barnes, Peter Derek	4	2021-09-30	46	19.88	88,304	1,068
MAG Silver Corp.	Common Shares	Curlook, Michael John	5	2021-10-07	57		97,597	854
MAG Silver Corp.	RSU	Curlook, Michael John	5	2021-10-07	57		19,969	-854
MAG Silver Corp.	DSU	Mathieu, Susan	4	2021-09-30	46	19.88	12,331	615
MAG Silver Corp.	Common Shares	Megaw, Peter	5	2021-10-07	57		13,822	3,472
MAG Silver Corp.	RSU	Megaw, Peter	5	2021-10-07	57		73,274	-3,472
Magnet Forensics Inc.	Deferred Share Units	Balsillie, James	3, 4	2021-06-30	56	25.53	3,041	1,216
Magnet Forensics Inc.	Deferred Share Units	Balsillie, James	3, 4	2021-09-30	56	42.55	3,788	747
Magnet Forensics Inc.	Deferred Share Units	Leaman, Carol Anne	4	2021-06-30	56	25.53	1,520	608
Magnet Forensics Inc.	Deferred Share Units	Leaman, Carol Anne	4	2021-09-30	56	42.55	1,893	373
Magnet Forensics Inc.	Deferred Share Units	Pickett, Jerome	4	2021-06-30	56	25.53	3,041	1,216
Magnet Forensics Inc.	Deferred Share Units	Pickett, Jerome	4	2021-09-30	56	42.55	3,788	747
Magnum Goldcorp Inc.	Common Shares	Evans, Daniel Bernard	4, 5	2021-10-07	11	0.05	1,533,844	400,000
Magnum Goldcorp Inc.	Options Exercisable into common shares	Evans, Daniel Bernard	4, 5	2021-09-22	52		10,000	-115,900
Magnum Goldcorp Inc.	Warrants	Evans, Daniel Bernard	4, 5	2011-08-02	00			
Magnum Goldcorp Inc.	Warrants	Evans, Daniel Bernard	4, 5	2021-10-07	11	0.1	400,000	400,000
Magnum Goldcorp Inc.	Common Shares	Evans, David Herbert	4	2021-10-07	11	0.06	1,304,813	600,000
Magnum Goldcorp Inc.	Options Exercisable into common shares	Evans, David Herbert	4	2021-09-22	52		10,000	-34,700
Magnum Goldcorp Inc.	Common Shares	Kowalski, Andrzej	4	2021-10-07	11	0.06	208,750	200,000
Magnum Goldcorp Inc.	Common Shares	Kowalski, Andrzej	4	2021-10-07	11	0.05	708,750	500,000
Magnum Goldcorp Inc.	Warrants	Kowalski, Andrzej	4	2021-09-10	55		0	-240,000
Magnum Goldcorp Inc.	Warrants	Kowalski, Andrzej	4	2021-10-07	11	0.1	500,000	500,000
Magnum Goldcorp Inc.	Common Shares	Mason, Douglas Lawrence	3, 4, 5	2021-10-07	11	0.06	680,347	665,000
Magnum Goldcorp Inc.	Common Shares	Mason, Douglas Lawrence	3, 4, 5	2011-08-02	00			
Magnum Goldcorp Inc.	Common Shares	Mason, Douglas Lawrence	3, 4, 5	2020-03-24	11	0.06	898,385	898,385
Magnum Goldcorp Inc.	Common Shares	Mason, Douglas Lawrence	3, 4, 5	2021-10-07	11	0.05	1,548,385	650,000
Magnum Goldcorp Inc.	Common Shares	Mason, Douglas Lawrence	3, 4, 5	2011-08-02	00			
Magnum Goldcorp Inc.	Common Shares	Mason, Douglas Lawrence	3, 4, 5	2021-10-07	11	0.05	2,000,000	2,000,000
Magnum Goldcorp Inc.	Options Exercisable into common shares	Mason, Douglas Lawrence	3, 4, 5	2021-09-22	52		10,000	-115,900
Magnum Goldcorp Inc.	Warrants	Mason, Douglas Lawrence	3, 4, 5	2011-08-02	00			
Magnum Goldcorp Inc.	Warrants	Mason, Douglas Lawrence	3, 4, 5	2021-10-07	11	0.1	665,000	665,000
Magnum Goldcorp Inc.	Warrants	Mason, Douglas Lawrence	3, 4, 5	2021-09-10	55		0	-600,000
Magnum Goldcorp Inc.	Warrants	Mason, Douglas Lawrence	3, 4, 5	2011-08-02	00			
Magnum Goldcorp Inc.	Warrants	Mason, Douglas Lawrence	3, 4, 5	2021-10-07	11	0.1	2,000,000	2,000,000
Major Drilling Group International Inc.	Deferred Share Units	Gignac, Louis-Pierre	4	2021-10-08	30		18,840	546

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Major Drilling Group International Inc.	Deferred Share Units	Keating, Kimberly	4	2021-10-08	56		21,627	1,287
Major Drilling Group International Inc.	Deferred Share Units	Lam, Juliana Lan	4	2021-10-08	56		7,721	2,574
Major Drilling Group International Inc.	Deferred Share Units	Veenman, Sybil Elsa	4	2021-10-08	56		15,670	1,364
Makara Mining Corp.	Common Shares	von Kursell, Andrew	4, 5	2021-10-01	10	0.155	818,000	-12,500
Makara Mining Corp.	Common Shares	von Kursell, Andrew	4, 5	2021-10-06	10	0.13	810,500	-7,500
Mandalay Resources Corporation	Common Shares	Duffy, Dominic Francis	4, 5	2021-10-06	10	2	47,300	2,000
Manulife Financial Corporation	Common Shares	Lorentz, Paul	5	2021-09-30	30		19,437	133
Manulife Financial Corporation	Common Shares	Lorentz, Paul	5	2021-09-30	30		19,515	78
Marble Financial Inc.	Common Shares	Marrandino, Michele	3, 4, 5	2021-10-06	10	0.135	42,500	7,500
Marble Financial Inc.	Common Shares	Marrandino, Michele	3, 4, 5	2021-10-06	10	0.14	48,500	6,000
MAV Beauty Brands Inc.	Deferred Share Units	Elshaw, Chris	4	2021-09-30	56		60,347	8,601
MAV Beauty Brands Inc.	Deferred Share Units	Ennis, Thomas	4	2021-09-30	56		40,234	5,734
MAV Beauty Brands Inc.	Deferred Share Units	Smith, Stephen A.	4	2021-09-30	56		48,277	6,881
Maxim Power Corp.	Common Shares	Maxim Power Corp.	1	2021-09-23	38	2.99	100	100
Mayfair Gold Corp.	Common Shares	evans, patrick charles	4, 5	2021-10-04	10	0.53	430,066	37,500
Mayfair Gold Corp.	Common Shares	evans, patrick charles	4, 5	2021-10-05	10	0.53	433,066	3,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-10-01	38	7.5354	5,200	5,200
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-10-01	38		0	-5,200
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-10-04	38	7.5558	3,100	3,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-10-04	38		0	-3,100
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-10-05	38	7.49	200	200
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2021-10-05	38		0	-200
MCAN Mortgage Corporation	Common Shares	Chu, Brian	4	2021-10-01	30	18.019	2,063	38
MCI OneHealth Technologies Inc.	Class A Subordinate Voting Shares	MCI Onehealth Technologies Inc.	1	2021-09-01	38	2.4712	22,145	18,415
MCI OneHealth Technologies Inc.	Class A Subordinate Voting Shares	MCI Onehealth Technologies Inc.	1	2021-09-02	38	2.4622	25,760	3,615
MCI OneHealth Technologies Inc.	Class A Subordinate Voting Shares	MCI Onehealth Technologies Inc.	1	2021-09-03	38	2.4466	40,910	15,150
MCI OneHealth Technologies Inc.	Class A Subordinate Voting Shares	MCI Onehealth Technologies Inc.	1	2021-09-03	38		18,765	-22,145
MCI OneHealth Technologies Inc.	Class A Subordinate Voting Shares	MCI Onehealth Technologies Inc.	1	2021-09-07	38	2.45	21,265	2,500
MCI OneHealth Technologies Inc.	Class A Subordinate Voting Shares	MCI Onehealth Technologies Inc.	1	2021-09-10	38		0	-21,265
mdf commerce inc.	Common Shares	Pilon, Julie	5	2021-10-01	00		2,003	
mdf commerce inc.	Options	Pilon, Julie	5	2021-10-01	00		35,000	
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Performance Share Units	Adelman, Michael David	5	2021-10-01	56		48,000	24,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	d'Entremont, Kenneth	4, 5	2021-09-30	16	3.22		196
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	d'Entremont, Kenneth	4, 5	2021-09-30	16	3.22		196

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	d'Entremont, Kenneth	4, 5	2021-09-30	16	3.22	353,763	196
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	Gravel, Benoit	4	2021-10-01	56		51,739	8,189
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Gulfo, Adele Madelyn	4	2021-10-01	59	3.01	16,945	4,396
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	Gulfo, Adele Madelyn	4	2021-10-01	56		26,579	5,322
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	Gulfo, Adele Madelyn	4	2021-10-01	57		21,257	-5,322
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	Mueller, Mike	4	2021-10-01	56		50,075	6,898
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Nelson, Stephen William	4	2021-09-30	16	3.22	2,201	932
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Nelson, Stephen William	4	2021-09-30	16	3.22	104,891	466
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	Nelson, Stephen William	4	2021-09-30	16	3.22	1,651	699
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	Nelson, Stephen William	4	2021-09-01	56			5,323
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	Nelson, Stephen William	4	2021-09-01	56			5,323
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	Nelson, Stephen William	4	2021-10-01	56		47,260	5,323
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Performance Share Units	Pine, Michael	5	2021-10-01	56		48,000	24,000
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	van der Velden, Peter	4	2021-09-30	16	3.22	3,456	1,463
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Common Shares	van der Velden, Peter	4	2021-09-30	16	3.22	128,607	54,438
Medexus Pharmaceuticals Inc. (formerly Pediapharm Inc.)	Rights Restricted Share Units	van der Velden, Peter	4	2021-10-01	56		59,615	8,539
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2021-09-29	97		\$3,808,802	\$25,902
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2021-09-29	97		\$952,052	\$6,475
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2021-09-29	97		\$12,753,808	\$86,734
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2021-09-29	97		\$2,191,243	\$14,901
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2021-09-29	97		\$23,084,651	\$156,991
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Adler, Jason Marc	6	2021-09-29	97		\$4,953,345	\$33,686



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2021-09-29	97		\$3,808,802	\$25,902
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2021-09-29	97		\$952,052	\$6,475
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2021-09-29	97		\$12,753,808	\$86,734
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2021-09-29	97		\$2,191,243	\$14,901
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2021-09-29	97		\$23,084,651	\$156,991
MedMen Enterprises Inc. (formerly Ladera Ventures Corp.)	Convertible Notes Senior Secured	Gotham Green Partners, LLC	3	2021-09-29	97		\$4,953,345	\$33,686
Melcor Developments Ltd.	Common Shares	Keating, Susan	5	2021-10-05	51	13.21	3,976	590
Melcor Developments Ltd.	Common Shares	Keating, Susan	5	2021-10-05	51	13.01	4,751	775
Melcor Developments Ltd.	Options	Keating, Susan	5	2021-10-05	51	13.21	25,500	-5,100
Melcor Developments Ltd.	Options	Keating, Susan	5	2021-10-05	51	13.01	19,500	-6,000
Melcor Developments Ltd.	Common Shares	Melton, Andrew John	3, 4	2021-10-06	10	14.45	102,600	1,600
Melcor Developments Ltd.	Common Shares	Stefura, Naomi Marie	5	2021-09-29	51	15.04	5,349	1,349
Melcor Developments Ltd.	Options	Stefura, Naomi Marie	5	2021-09-29	51	15.04	74,000	-10,000
Metallis Resources Inc.	Options	Aliperti, Fiore	4	2021-09-29	50	0.39	500,000	250,000
Metallis Resources Inc.	Options	Dupre, David	5	2021-09-29	50	0.39	425,000	200,000
Metallis Resources Inc.	Options	Lever, Jon Stacy	4, 5	2021-09-29	50	0.39	425,000	200,000
Metallis Resources Inc.	Options	Razique, Abdul	5	2021-07-01	00		275,000	
Metallis Resources Inc.	Options	Razique, Abdul	5	2021-09-28	50	0.39	375,000	100,000
Metallis Resources Inc.	Options	Sikich, Michael	4	2021-09-28	50	0.39	375,000	150,000
Methanex Corporation	Common Shares	Methanex Corporation	1	2021-09-24	38	45.416	17,611	17,611
Methanex Corporation	Common Shares	Methanex Corporation	1	2021-09-27	38	47.774	34,352	16,741
Methanex Corporation	Common Shares	Methanex Corporation	1	2021-09-28	38	47.28	51,268	16,916
Methanex Corporation	Common Shares	Methanex Corporation	1	2021-09-29	38	46.647	68,414	17,146
Methanex Corporation	Common Shares	Methanex Corporation	1	2021-09-30	38	46.52	85,607	17,193
Methanex Corporation	Common Shares	Methanex Corporation	1	2021-09-30	38		0	-85,607
Metro inc.	Common Shares	Metro inc.	1	2021-09-03	38	64.517	50,000	50,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-03	38		0	-50,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-09	38	63.651	100,000	100,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-09	38		0	-100,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-10	38	63.372	75,000	75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-10	38		0	-75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-13	38	62.662	50,000	50,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-13	38		0	-50,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-14	38	62.262	50,000	50,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-14	38		0	-50,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-15	38	61.276	75,000	75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-15	38		0	-75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-17	38	60.476	75,000	75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-17	38		0	-75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-20	38	59.799	75,000	75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-20	38		0	-75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-22	38	60.234	75,000	75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-22	38		0	-75,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-23	38	59.952	25,000	25,000

**Insider Reporting**

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Metro inc.	Common Shares	Metro inc.	1	2021-09-23	38		0	-25,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-24	38	60.104	25,000	25,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-24	38		0	-25,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-27	38	60.252	25,000	25,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-27	38		0	-25,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-28	38	59.711	25,000	25,000
Metro inc.	Common Shares	Metro inc.	1	2021-09-28	38		0	-25,000
Microbix Biosystems Inc.	Common Shares	Groome, Cameron Lionel	4, 5	2021-10-04	10	0.64	201,666	-13,334
Microbix Biosystems Inc.	Common Shares	Groome, Cameron Lionel	4, 5	2021-10-07	54	0.36	235,000	33,334
Microbix Biosystems Inc.	Common Shares	Groome, Cameron Lionel	4, 5	2021-10-07	54	0.36	1,130,000	100,000
Microbix Biosystems Inc.	Common Shares	Groome, Cameron Lionel	4, 5	2021-10-04	10	0.64	166,666	-3,334
Microbix Biosystems Inc.	Common Shares	Groome, Cameron Lionel	4, 5	2021-10-07	54	0.36	200,000	33,334
Microbix Biosystems Inc.	Warrants	Groome, Cameron Lionel	4, 5	2021-10-07	54	0.36	0	-33,334
Microbix Biosystems Inc.	Warrants	Groome, Cameron Lionel	4, 5	2021-10-07	54	0.36	515,000	-100,000
Microbix Biosystems Inc.	Warrants	Groome, Cameron Lionel	4, 5	2021-10-07	54	0.36	0	-33,334
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-10-01	38	9.2	1,232,800	300
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-10-04	38	9.153	1,233,800	1,000
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2021-10-05	38	9.0362	1,235,100	1,300
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-04	10	1.49	1,363,320	-200,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-19	10	2.39	1,273,120	-50,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-26	10	3	800,000	-48,120
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-26	97	4.14		-98,120
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-26	97	4.14		-98,120
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-01-26	10	4.25	200,000	-100,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-03-04	10	2.7	250,000	50,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-07-13	10	1.55	536,575	-30,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-07-13	10	1.5	532,475	-4,100
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-07-15	10	1.6	527,475	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-07-17	10	1.5	522,475	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-07-20	10	1.55	517,475	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-07-29	10	1.49	507,475	-10,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-08-04	10	1.49	497,475	-10,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-08-05	10	1.6	492,475	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-08-07	10	1.54	491,775	-700
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-08-11	10	1.47	482,475	-9,300
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-08-17	10	1.4	477,475	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-18	10	1.8	457,475	-20,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-19	10	2.15	437,475	-20,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-20	10	2.7		-35,300
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-20	10	2.7	360,000	-12,775
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-20	10	2.11	350,000	-10,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-23	10	2.9	200,000	-50,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-26	10	2.92	145,000	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-27	10	2.95	140,000	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-27	10	2.94	135,000	-5,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-27	10	2.94	125,000	-10,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-11-27	10	2.9	100,000	-25,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-12-03	10	2.75	50,000	-50,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-12-03	10	2.9	25,000	-25,000
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-12-07	10	2.8	19,200	-5,800

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Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2020-12-08	10	2.72	0	-19,200
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-03-04	10	2.65	10,500	10,500
Millennial Lithium Corp.	Common Shares	Harris, Graham	4	2021-03-05	10	2.65	50,000	39,500
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.75	5,393,341	-50,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.76	5,368,341	-25,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.77	5,333,341	-35,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.78	5,273,341	-60,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.79	5,268,341	-5,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.8	5,253,341	-15,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.81	5,213,341	-40,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-06	10	2.83	5,193,341	-20,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-07	10	2.79	5,173,341	-20,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-07	10	2.8	5,153,341	-20,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-07	10	2.81	5,133,341	-20,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Subordinate Voting Shares	Dellelce, Perry Nicholas	4	2021-10-07	10	2.83	5,093,341	-40,000
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Common Shares	Guebert, David Dean	5	2021-10-05	10	2.88	224,942	-600
Mind Medicine (MindMed) Inc. (formerly Broadway Gold Mining Ltd.)	Common Shares	Guebert, David Dean	5	2021-10-08	10	2.88	199,942	-25,000
MindBeacon Holdings Inc.	Common Shares	MindBeacon Holdings Inc.	1	2021-09-16	00			
MindBeacon Holdings Inc.	Common Shares	MindBeacon Holdings Inc.	1	2021-09-16	38	3.25	300,000	300,000
MindBeacon Holdings Inc.	Common Shares	MindBeacon Holdings Inc.	1	2021-09-24	00			
MindBeacon Holdings Inc.	Common Shares	MindBeacon Holdings Inc.	1	2021-09-24	00			
MindBeacon Holdings Inc.	Common Shares	MindBeacon Holdings Inc.	1	2021-09-24	38		0	-300,000
Minera Alamos Inc.	Common Shares	Ramshaw, Doug	4, 5	2021-10-08	10	0.54	5,596,200	35,000
Mineral Mountain Resources Ltd.	Common Shares	baker, nelson	4	2021-10-06	10	0.14	88,300	20,000
Minto Apartment Real Estate Investment Trust	Deferred Units	Greenberg, Roger	4, 5	2021-09-30	56		13,816	998
Minto Apartment Real Estate Investment Trust	Deferred Units	Kimberley, Allan Scott	4	2021-09-30	56		17,240	1,175
Minto Apartment Real Estate Investment Trust	Deferred Units	Kirk, Heather Catherine	4	2021-09-30	56		14,248	966
Minto Apartment Real Estate Investment Trust	Deferred Units	Moss, Jacqueline Crysler	4	2021-09-30	56		13,972	933
Minto Apartment Real Estate Investment Trust	Deferred Units	Nyilassy, Simon	4	2021-09-30	56		16,599	1,127

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Minto Apartment Real Estate Investment Trust	Deferred Units	Orsino, Philip	4	2021-09-30	56		8,970	595
Moneta Gold Inc. (formerly Moneta Porcupine Mines Inc.)	Common Shares	Macintosh, Jason	5	2020-09-28	00			
Moneta Gold Inc. (formerly Moneta Porcupine Mines Inc.)	Common Shares	Macintosh, Jason	5	2021-10-08	10	1.71	1,000	1,000
Moneta Gold Inc. (formerly Moneta Porcupine Mines Inc.)	Options	Macintosh, Jason	5	2021-08-26	37		250,000	-1,250,000
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-03	38	0.85	11,000	11,000
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-07	38	0.94	14,000	3,000
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-09	38	0.9	25,500	11,500
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-10	38	1.0134	49,000	23,500
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-13	38	1.1989	85,900	36,900
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-14	38	1.2408	150,900	65,000
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-15	38	1.3637	201,400	50,500
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-16	38	1.2	297,500	96,100
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-20	38	1.0928	333,700	36,200
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-21	38	1.14	340,700	7,000
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-22	38	1.1	344,400	3,700
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-27	38	1.1782	372,400	28,000
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-28	38	1.12	372,700	300
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-29	38	1.1947	388,600	15,900
Mongolia Growth Group Ltd.	Common Shares	Mongolia Growth Group Ltd.	1	2021-09-30	38	1.24	398,600	10,000
Morguard Corporation	Common Shares	Braithwaite, William James	4	2021-10-04	10	130.5	2,500	100
Morguard Real Estate Investment Trust	Units	Walker, Timothy James	4	2021-10-04	10	6.05	23,300	-1,000
MPX International Corporation	Convertible Debentures Bridge Loan	Crawford, Alastair Duncan Hadfield	4	2021-10-01	11		\$22,139	\$10,880
MPX International Corporation	Convertible Debentures Unsecured Conv Debenture	Crawford, Alastair Duncan Hadfield	4	2019-01-31	00			
MPX International Corporation	Convertible Debentures Unsecured Conv Debenture	Crawford, Alastair Duncan Hadfield	4	2021-10-01	11		\$226,666	\$226,666
MPX International Corporation	Warrants Bonus	Crawford, Alastair Duncan Hadfield	4	2021-10-01	11	0.12	1,724,613	1,666,667
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-10-04	38	13.131	46,496	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-10-05	38	13.431	64,380	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-10-06	38	13.041	82,264	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-10-07	38	13.253	100,148	17,884
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2021-10-08	38	13.41	118,032	17,884
Mundoro Capital Inc.	Common Shares	Calyniuk, Michael Eugene	4	2021-05-14	51	0.12	350,000	100,000
Mundoro Capital Inc.	Options	Calyniuk, Michael Eugene	4	2021-05-14	51	0.12	900,000	-100,000

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Mundoro Capital Inc.	Common Shares	Dechev, Teodora	4, 5	2021-05-17	51	0.12	625,000	350,000
Mundoro Capital Inc.	Options	Dechev, Teodora	4, 5	2021-05-17	30		2,375,000	-350,000
Nabati Foods Global Inc. (formerly, 1279006 B.C. Ltd.)	Common Shares	Yehya, Ahmad	3, 4, 5	2021-10-04	10	0.82	9,299,240	2,500
Nabati Foods Global Inc. (formerly, 1279006 B.C. Ltd.)	Common Shares	Yehya, Ahmad	3, 4, 5	2021-10-04	10	0.85	9,305,140	5,900
Nabati Foods Global Inc. (formerly, 1279006 B.C. Ltd.)	Common Shares	Yehya, Ahmad	3, 4, 5	2021-10-05	10	0.82	9,305,840	700
Nabati Foods Global Inc. (formerly, 1279006 B.C. Ltd.)	Common Shares	Yehya, Ahmad	3, 4, 5	2021-10-05	10	0.85	9,306,840	1,000
Nabati Foods Global Inc. (formerly, 1279006 B.C. Ltd.)	Common Shares	Yehya, Ahmad	3, 4, 5	2021-10-08	10	0.88	9,308,240	1,400
Nanotech Security Corp.	Common Shares	Blakeway, Douglas Hayward	4	2021-10-05	22	1.25	0	-6,307,500
Nanotech Security Corp.	Options	Blakeway, Douglas Hayward	4	2021-10-05	22	1.25	0	-70,000
Nanotech Security Corp.	Common Shares	Bullock, Gordon Troy	4, 5	2021-10-05	57		1,239,055	94,837
Nanotech Security Corp.	Common Shares	Bullock, Gordon Troy	4, 5	2021-10-05	51		2,789,055	1,550,000
Nanotech Security Corp.	Common Shares	Bullock, Gordon Troy	4, 5	2021-10-05	22	1.25	0	-2,789,055
Nanotech Security Corp.	Options	Bullock, Gordon Troy	4, 5	2021-01-11	52	1.23		-85,000
Nanotech Security Corp.	Options	Bullock, Gordon Troy	4, 5	2021-01-11	52	1.23	2,085,000	-85,000
Nanotech Security Corp.	Options	Bullock, Gordon Troy	4, 5	2021-10-05	51	0.6	950,000	-600,000
Nanotech Security Corp.	Options	Bullock, Gordon Troy	4, 5	2021-10-05	51	0.4	350,000	-600,000
Nanotech Security Corp.	Options	Bullock, Gordon Troy	4, 5	2021-10-05	51	0.48	0	-350,000
Nanotech Security Corp.	Rights Deferred Share Units	Bullock, Gordon Troy	4, 5	2021-10-05	57		0	-94,837
Nanotech Security Corp.	Common Shares	Donnelly, Brian	5	2021-10-05	22	1.25	0	-7,368
Nanotech Security Corp.	Options	Donnelly, Brian	5	2021-10-05	22	1.25	0	-625,000
Nanotech Security Corp.	Rights Deferred Share Units	Donnelly, Brian	5	2021-10-05	22	1.25	0	-11,179
Nanotech Security Corp.	Options	Green, Andrew Richard	5	2021-10-05	22	1.25	0	-300,000
Nanotech Security Corp.	Rights Deferred Share Units	Green, Andrew Richard	5	2021-10-05	22	1.25	0	-3,375
Nanotech Security Corp.	Common Shares	Kaminska, Bozena	4	2021-10-05	22	1.25		-3,081,744
Nanotech Security Corp.	Common Shares	Kaminska, Bozena	4	2021-10-05	22	1.25	0	-2,868,994
Nanotech Security Corp.	Options	Kaminska, Bozena	4	2018-01-04	50			10,000
Nanotech Security Corp.	Options	Kaminska, Bozena	4	2018-01-04	50		45,000	10,000
Nanotech Security Corp.	Options	Kaminska, Bozena	4	2021-10-05	22	1.25	0	-115,000
Nanotech Security Corp.	Rights Deferred Share Units	Kaminska, Bozena	4	2021-10-05	22	1.25	0	-22,000
Nanotech Security Corp.	Common Shares	Landrock, Clinton Kenneth	5	2021-10-05	22	1.25	0	-1,470,683
Nanotech Security Corp.	Common Shares	LeRoux, Iginatius Johannes	5	2021-10-05	22	1.25	0	-242,335
Nanotech Security Corp.	Options	LeRoux, Iginatius Johannes	5	2021-10-05	22	1.25	0	-530,000
Nanotech Security Corp.	Rights Deferred Share Units	LeRoux, Iginatius Johannes	5	2021-10-05	22	1.25	0	-65,331
Nanotech Security Corp.	Common Shares	McDonnell, David Neil	4	2021-10-05	51	0.46	45,000	20,000
Nanotech Security Corp.	Common Shares	McDonnell, David Neil	4	2021-10-05	51	0.6	95,000	50,000
Nanotech Security Corp.	Common Shares	McDonnell, David Neil	4	2021-10-05	22	1.25	0	-95,000
Nanotech Security Corp.	Common Shares	McGrath, Ronan Dominic	4	2021-10-05	22	1.25	0	-65,500
Nanotech Security Corp.	Options	McGrath, Ronan Dominic	4	2021-10-05	22	1.25	0	-70,000

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Nanotech Security Corp.	Options	Rowe, Richard	4	2021-10-05	22	1.25	0	-100,000
Nanotech Security Corp.	Common Shares	Russell, Monika	5	2021-10-05	22	1.25	0	-89,660
Nanotech Security Corp.	Options	Russell, Monika	5	2021-10-05	22	1.25	0	-500,000
Nanotech Security Corp.	Rights Deferred Share Units	Russell, Monika	5	2021-10-05	22	1.25	0	-12,459
Nanotech Security Corp.	Common Shares	ZINKHOFER, BERNHARD	4	2021-10-05	22	1.25	0	-714,271
Nanotech Security Corp.	Common Shares	ZINKHOFER, BERNHARD	4	2021-10-05	22	1.25	0	-157,500
Nanotech Security Corp.	Options	ZINKHOFER, BERNHARD	4	2021-10-05	22	1.25	0	-20,000
Nanotech Security Corp.	Options	ZINKHOFER, BERNHARD	4	2021-10-05	22	1.25	0	-75,000
Neo Lithium Corp. (formerly, POCML 3 Inc.)	Common Shares	Vicens, Carlos Ernesto	5	2021-03-30	51	1	37,800	19,800
Neo Lithium Corp. (formerly, POCML 3 Inc.)	Common Shares	Vicens, Carlos Ernesto	5	2021-03-30	10	3	18,000	-19,800
Neo Lithium Corp. (formerly, POCML 3 Inc.)	Options	Vicens, Carlos Ernesto	5	2021-03-30	51	1	790,000	-19,800
Nevada Copper Corp.	Warrants	van Niekerk, Pieter A.	5	2020-07-13	15	0.2	452,500	452,500
Nevada Copper Corp.	Warrants	van Niekerk, Pieter A.	5	2021-09-17	37	0.2		-407,250
Nevada Copper Corp.	Warrants	van Niekerk, Pieter A.	5	2021-09-17	37	0.2		-407,250
Nevada Copper Corp.	Warrants	van Niekerk, Pieter A.	5	2021-09-17	37	0.22		-27,000
Nevada Copper Corp.	Warrants	van Niekerk, Pieter A.	5	2021-09-17	37	0.22		-27,000
Nevada Lithium Resources Inc. (formerly, Hermes Acquisition Corp.)	Options	Wilson, Jeff	4	2021-09-17	00		250,000	
New Oroperu Resources Inc.	Common Shares	Carr-Hilton, James Frank	4	2003-10-19	00			
New Oroperu Resources Inc.	Common Shares	Carr-Hilton, James Frank	4	2003-10-19	00			
New Oroperu Resources Inc.	Common Shares	Carr-Hilton, James Frank	4	2003-10-19	00			
New Oroperu Resources Inc.	Common Shares	Carr-Hilton, James Frank	4	2003-10-19	00			
New Oroperu Resources Inc.	Options	Carr-Hilton, James Frank	4	2003-10-19	00			
New Oroperu Resources Inc.	Options	Carr-Hilton, James Frank	4	2003-10-19	00		50,000	
New Oroperu Resources Inc.	Warrants	Carr-Hilton, James Frank	4	2003-10-19	00			
New Oroperu Resources Inc.	Warrants	Carr-Hilton, James Frank	4	2003-10-19	00			
New Pacific Metals Corp.	Common Shares	Hawkins, Thomas Gregory	4	2021-10-05	51	0.55	1,131,675	50,000
New Pacific Metals Corp.	Options	Hawkins, Thomas Gregory	4	2021-10-05	51	0.55	175,000	-50,000
New Placer Dome Gold Corp.	Common Shares	Sali, Maximilian	4, 5	2021-10-05	10	0.08	3,045,000	25,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Arata, Jose Francisco	4	2021-10-01	50	0.3		-500,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Arata, Jose Francisco	4	2021-10-01	50	0.3	1,420,000	500,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Bay, Greg	4	2021-10-01	00		200,000	
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Calderon Berti, Humberto	4	2021-10-01	00		300,000	

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New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Felesky, Wade Robert Arthur	4, 5	2021-07-21	00			
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Felesky, Wade Robert Arthur	4, 5	2021-10-01	50	0.3	500,000	500,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Mauco, Wuilian Andres	3	2021-10-01	50	0.3	1,040,000	200,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Miranda, Mario Alejandro	5	2021-10-01	50	0.3	450,000	200,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Ostos Rosales, Marino	4	2021-10-01	50	0.3		-500,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	Ostos Rosales, Marino	4	2021-10-01	50	0.3	1,480,000	500,000
New Stratus Energy Inc. (formerly Red Rock Energy Inc.)	Options	VALENCIA CHAVARRO, CAMILO	5	2021-10-01	50	0.3	400,000	300,000
New Tech Minerals Corp.	Options	Holmes, Kenneth Richard	4	2021-09-29	50	0.075	850,000	150,000
Newcore Gold Ltd.	Common Shares	Forster, Douglas Burton	3, 4	2021-10-04	10	0.467	7,053,709	100,000
Newport Inc.	Common Shares	MacDonald, Dean	4, 5	2011-04-01	00		434,124	
Newport Inc.	Common Shares	MacDonald, Dean	4, 5	2011-04-01	00			
NexLiving Communities Inc.	Common Shares	Nicoll, James David	5	2021-10-01	10	0.195	1,536,832	-31,500
NexLiving Communities Inc.	Common Shares	Nicoll, James David	5	2021-10-04	10	0.195	1,533,332	-3,500
Next Green Wave Holdings Inc.	Common Shares	Hybels, Todd Jeremy	5	2021-10-01	10	0.442	572,250	1,017
Nextech AR Solutions Corp.	Common Shares	Duffy, John Paul	4	2021-09-30	11		3,002,499	60,000
Nnextech AR Solutions Corp.	Options	Duffy, John Paul	4	2021-09-30	51		310,000	-60,000
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-01	10	10.718	212,446	178
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-04	10	10.65	212,830	384
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-06	10	10.483	214,092	1,262
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-07	11	10.486	214,203	111
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-08	10	10.386	214,837	634
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-01	10	10.718	340,238	193
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-04	10	10.65	340,654	416
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-06	10	10.483	342,022	1,368
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-07	10	10.486	342,143	121
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-08	10	10.386	342,831	688
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-01	10	10.718	793,256	429
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-04	10	10.65	794,181	925
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-06	10	10.483	797,218	3,037
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-07	10	10.486	797,486	268
NextPoint Financial Inc.	Common Shares	Cannell Capital LLC	3	2021-10-08	10	10.386	799,014	1,528
NextSource Materials Inc.	Common Shares	Johnson, Marc	5	2021-10-05	54	0.9	225,501	16,667
NextSource Materials Inc.	Warrants	Johnson, Marc	5	2021-10-05	54	0.9	0	-16,667
NextSource Materials Inc.	Common Shares	Kruba, Christopher Robert	4	2021-10-05	54	0.9	310,000	20,000
NextSource Materials Inc.	Warrants	Kruba, Christopher Robert	4	2021-10-05	54	0.9	0	-20,000
Nickel 28 Capital Corp. (formerly, Conic Metals Corp.)	Common Shares	Cochrane, Justin	5	2021-10-07	51	0.43	3,976,875	750,000

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Nickel 28 Capital Corp. (formerly, Conic Metals Corp.)	Options	Cochrane, Justin	5	2021-10-07	51	0.43	0	-750,000
Nickel Creek Platinum Corp.	Common Shares	Failace, Anthony	3	2021-10-04	00		26,980,195	
Nickel Creek Platinum Corp.	Common Shares	Failace, Anthony	3	2021-10-04	00		6,681,916	
Nickel Creek Platinum Corp.	Warrants	Failace, Anthony	3	2021-10-04	00		18,583,241	
Nomad Royalty Company Ltd.	Common Shares	Cardin-Tremblay, Vincent	5	2021-09-30	57	7.63	5,007	1,611
Nomad Royalty Company Ltd.	Rights Restricted Share Units	Cardin-Tremblay, Vincent	5	2021-09-30	56	7.63	30,566	3,580
Nomad Royalty Company Ltd.	Rights Restricted Share Units	Cardin-Tremblay, Vincent	5	2021-09-30	57	7.63	28,955	-1,611
Nomad Royalty Company Ltd.	Rights Restricted Share Units	Cardin-Tremblay, Vincent	5	2021-09-30	59	7.63	26,986	-1,969
Nomad Royalty Company Ltd.	Rights Deferred Share Units	Gollat, Matthew	4	2021-09-30	56	7.63	29,480	2,000
Nomad Royalty Company Ltd.	Rights Deferred Share Units	Kudzman, Susan	4	2021-09-30	56	7.63	165,300	2,000
Nomad Royalty Company Ltd.	Rights Deferred Share Units	Porter, James	4	2021-09-30	56	7.63	29,280	1,800
Nomad Royalty Company Ltd.	Rights Deferred Share Units	Weisman, Robin Leslie	4	2021-09-30	56	7.63	31,070	1,600
Nomad Royalty Company Ltd.	Rights Deferred Share Units	Zollei, Istvan	4	2021-09-30	56	7.63	12,800	2,000
Noront Resources Ltd.	Common Shares	Wyloo Canada Holdings Pty Ltd.	3	2021-09-30	11	0.2	209,377,225	96,150,000
North American Construction Group Ltd.	Deferred Share Units	Ferron, Martin Robert	4, 5	2021-10-08	56		213,202	480
North American Construction Group Ltd.	Restricted Share Units	Ferron, Martin Robert	4, 5	2021-10-08	56		57,832	130
North American Construction Group Ltd.	Rights Performance Share Units	Ferron, Martin Robert	4, 5	2021-10-08	56		136,940	309
North American Construction Group Ltd.	Performance Share Units	Kallay, David Grant	5	2021-10-08	56		8,730	31
North American Construction Group Ltd.	Restricted Share Units	Kallay, David Grant	5	2021-10-08	56		5,821	21
North American Construction Group Ltd.	Common Shares Rights Performance Share Units	Lambert, Joseph Charles	5	2021-10-08	56		84,709	191
North American Construction Group Ltd.	Deferred Share Units	Lambert, Joseph Charles	5	2021-10-08	56		78,122	176
North American Construction Group Ltd.	Restricted Share Units	Lambert, Joseph Charles	5	2021-10-08	56		56,474	127
North American Construction Group Ltd.	Deferred Share Units	McIntosh, Ronald A	4	2021-09-30	56		271,837	2,232
North American Construction Group Ltd.	Deferred Share Units	McIntosh, Ronald A	4	2021-10-08	56		272,446	609
North American Construction Group Ltd.	Common Shares Rights Performance Share Units	Palmer, Barry Wade	5	2021-10-08	56		42,060	95
North American Construction Group Ltd.	Deferred Share Units	Palmer, Barry Wade	5	2021-10-08	56		69,589	157
North American Construction Group Ltd.	Restricted Share Units	Palmer, Barry Wade	5	2021-10-08	56		28,039	63
North American Construction Group Ltd.	Deferred Share Units	Pinney, Bryan Daniel	4	2021-09-30	56		154,589	1,475
North American Construction Group Ltd.	Deferred Share Units	Pinney, Bryan Daniel	4	2021-10-08	56		154,935	346
North American Construction Group Ltd.	Deferred Share Units	Pollesel, John Joseph	4	2021-09-30	56		42,478	1,420



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
North American Construction Group Ltd.	Deferred Share Units	Pollesel, John Joseph	4	2021-10-08	56		42,571	93
North American Construction Group Ltd.	Deferred Share Units	Saint-Laurent, Maryse C.	4	2021-09-30	56		16,045	1,420
North American Construction Group Ltd.	Deferred Share Units	Saint-Laurent, Maryse C.	4	2021-10-08	56		16,078	33
North American Construction Group Ltd.	Performance Share Units	Slator, Jordan	5	2021-10-08	56		10,350	35
North American Construction Group Ltd.	Restricted Share Units	Slator, Jordan	5	2021-10-08	56		6,600	23
North American Construction Group Ltd.	Deferred Share Units	Stan, Thomas Paul	4	2021-09-30	56		48,923	1,218
North American Construction Group Ltd.	Deferred Share Units	Stan, Thomas Paul	4	2021-10-08	56		49,031	108
North American Construction Group Ltd.	Common Shares Performance Share Units	Veenstra, Jason William	5	2021-10-08	56		32,878	137
North American Construction Group Ltd.	Deferred Share Units	Veenstra, Jason William	5	2021-10-08	56		10,296	23
North American Construction Group Ltd.	Restricted Share Units	Veenstra, Jason William	5	2021-10-08	56		21,919	92
North American Construction Group Ltd.	Deferred Share Units	Williams, Kristina	4	2021-09-30	56		15,258	1,339
North American Construction Group Ltd.	Deferred Share Units	Williams, Kristina	4	2021-10-08	56		15,289	31
Northfield Capital Corporation	Common Shares CLASS A RESTRICTED VOTING	Pladsen, Thomas John	4	2021-10-06	10	37	15,000	-2,500
Northland Power Inc.	Deferred Share Units (DSU)	Bountrogianni, Marie	4	2021-09-30	56	42.69	5,828	719
Northland Power Inc.	Deferred Share Units (DSU)	Colnett, Lisa	4	2021-09-30	56	42.69	3,031	735
Northland Power Inc.	Deferred Share Units (DSU)	Glass, Kevin A.	4	2021-09-30	56	42.69	1,618	1,108
Northland Power Inc.	Deferred Share Units (DSU)	Goodman, Russell Andrew	4	2021-09-30	56	42.69	23,958	727
Northland Power Inc.	Deferred Share Units (DSU)	Halbert, Keith	4	2021-09-30	56	42.69	1,821	668
Northland Power Inc.	Deferred Share Units (DSU)	Mallovy-Hicks, Helen Mary	4	2021-09-30	56	42.69	809	554
Northland Power Inc.	Deferred Share Units (DSU)	Pearce, Ian	4	2021-09-30	56	42.69	3,455	802
Northstar Clean Technologies Inc.	Options	Johnson, Gordon Henry Joseph Johnson	4, 5	2021-02-16	50	0.35	250,000	250,000
Northstar Clean Technologies Inc.	Options	Johnson, Gordon Henry Joseph Johnson	4, 5	2021-06-21	00			
Northstar Clean Technologies Inc.	Options	Johnson, Gordon Henry Joseph Johnson	4, 5	2021-07-12	50	0.35	350,000	100,000
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Baron, Robert	4	2021-09-30	56	13.18	198,316	2,485
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Crotty, Bernard W.	4, 5	2021-09-30	56	13.18	9,832	1,859
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Kingsmill, Stephani	4	2021-09-30	56	13.18	13,295	1,973
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Klein, Allan Dale	4	2021-09-30	56	13.18	5,065	2,466
NorthWest Healthcare Properties Real Estate Investment Trust	Deferred Units	Petersen, Brian Kenneth	4	2021-09-30	56	13.18	45,836	1,707
NorZinc Ltd.	Deferred Share Units	Perry, Anita	4	2021-10-01	46	0.055	1,058,187	136,364

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
NorZinc Ltd.	Deferred Share Units	Sugar, Gary A.	4	2021-09-30	46	0.055	855,283	136,364
Nova Leap Health Corp.	Rights DSUs	Hatfield, Dana Murray	4	2016-02-19	00			
Nova Leap Health Corp.	Rights DSUs	Hatfield, Dana Murray	4	2021-09-30	56	0.6728	19,322	19,322
Nova Leap Health Corp.	Rights DSUs	Mullally, Marie	4	2021-03-16	00			
Nova Leap Health Corp.	Rights DSUs	Mullally, Marie	4	2021-09-30	56	0.6728	9,661	9,661
Nova Leap Health Corp.	Rights DSUs	Myles, R. Wayne	4	2017-09-08	00			
Nova Leap Health Corp.	Rights DSUs	Myles, R. Wayne	4	2021-09-30	56	0.6728	11,890	11,890
Nova Leap Health Corp.	Rights DSUs	O'Keefe, Michael Austin	4	2016-02-19	00			
Nova Leap Health Corp.	Rights DSUs	O'Keefe, Michael Austin	4	2021-09-30	56	0.6728	11,890	11,890
Nova Leap Health Corp.	Rights DSUs	Whelan, Anne	4	2021-06-11	00			
Nova Leap Health Corp.	Rights DSUs	Whelan, Anne	4	2021-09-30	56	0.6728	9,661	9,661
NOVAGOLD RESOURCES INC.	Common Shares	Dowdall, Sharon Elizabeth	4	2021-10-05	51	6.16	81,200	81,200
NOVAGOLD RESOURCES INC.	Common Shares	Dowdall, Sharon Elizabeth	4	2021-10-05	38	9.07	26,052	-55,148
NOVAGOLD RESOURCES INC.	Common Shares	Dowdall, Sharon Elizabeth	4	2021-10-05	10	9.06	0	-26,052
NOVAGOLD RESOURCES INC.	Options	Dowdall, Sharon Elizabeth	4	2021-10-05	51		293,100	-81,200
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2021-07-07	30	10.59	563,149	103
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2021-07-22	30	9.76	563,261	112
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2021-08-06	30	9.59	563,375	114
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2021-08-19	30	9.17	563,494	119
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2021-09-03	30	8.9	563,617	123
NOVAGOLD RESOURCES INC.	Common Shares	HENNESSEY, MELANIE	5	2021-09-21	30	8.8	563,741	124
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	2021-10-07	51	4.58	396,945	50,000
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	2021-10-07	38	7.5	366,411	-30,534
NOVAGOLD RESOURCES INC.	Common Shares	Williams, Richard	5	2021-10-07	10	7.5	346,945	-19,466
NOVAGOLD RESOURCES INC.	Options	Williams, Richard	5	2021-10-07	51	4.58	802,400	-50,000
NUVISTA ENERGY LTD.	Common Shares	Lawford, Michael	5	2021-09-30	10		40,762	632
NUVISTA ENERGY LTD.	Common Shares	LeGrow, Christopher Mark Alessandro	5	2021-10-05	51	4.46	86,542	17,734
NUVISTA ENERGY LTD.	Common Shares	LeGrow, Christopher Mark Alessandro	5	2021-10-05	10		68,808	-17,734
NUVISTA ENERGY LTD.	Options	LeGrow, Christopher Mark Alessandro	5	2021-10-05	51	4.46	336,106	-17,734
O3 Mining Inc.	Rights Deferred Share Units	Burzynski, John Feliks	4, 6	2021-09-30	56	2.01	23,591	8,706
O3 Mining Inc.	Rights Deferred Share Units	Calderon, Bernardo Alvarez	8	2021-09-30	56	2.01	38,752	8,706
O3 Mining Inc.	Rights Deferred Share Units	John, William Murray	4	2021-09-30	56	2.01	27,599	10,572
O3 Mining Inc.	Rights Deferred Share Units	McKay, Keith Douglas	4, 6	2021-09-30	56	2.01	53,914	8,706
O3 Mining Inc.	Common Shares	Vizquerra, Jose	4, 6, 5	2021-10-05	10	1.51	1,566,300	12,000
OceanaGold Corporation	Rights Rights Deferred Share Units	Benson, Paul	4	2021-10-04	56	2.08	70,767	7,562
OceanaGold Corporation	Options	Dodds, Sandra Maree	4	2021-10-04	56	2.08		7,562
OceanaGold Corporation	Options	Dodds, Sandra Maree	4	2021-10-04	56	2.08	95,575	7,562

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
OceanaGold Corporation	Rights Deferred Share Units	Gignac, Catherine	4	2021-10-04	56	2.08	102,996	7,562
OceanaGold Corporation	Rights Deferred Share Units	McMullen, Michael James	4	2021-10-04	56	2.08	70,767	7,562
OceanaGold Corporation	Rights Deferred Units	Nelsen, Craig Joseph	4	2021-10-04	56	2.08	90,603	7,562
OceanaGold Corporation	Rights Deferred Share Units	Reid, Ian MacNevin	4	2021-10-04	56	2.08	115,634	7,562
Oncolytics Biotech Inc.	Common Shares	Brown, Deborah	4	2021-10-01	57		48,948	3,496
Oncolytics Biotech Inc.	Rights Restricted Share Units	Brown, Deborah	4	2021-10-01	54		0	-8,134
Oncolytics Biotech Inc.	Common Shares	Holtham, Angela Frances	4	2021-09-30	57		110,649	2,313
Oncolytics Biotech Inc.	Common Shares	Holtham, Angela Frances	4	2021-10-01	57		118,783	8,134
Oncolytics Biotech Inc.	Rights Restricted Share Units	Holtham, Angela Frances	4	2021-09-30	57		11,276	-2,313
Oncolytics Biotech Inc.	Rights Restricted Share Units	Holtham, Angela Frances	4	2021-10-01	57		3,142	-8,134
Oncolytics Biotech Inc.	Common Shares	Pisano, Wayne	4	2021-09-30	57		174,970	5,033
Oncolytics Biotech Inc.	Common Shares	Pisano, Wayne	4	2021-10-01	57		183,104	8,134
Oncolytics Biotech Inc.	Rights Restricted Share Units	Pisano, Wayne	4	2021-09-30	57		14,971	-5,033
Oncolytics Biotech Inc.	Rights Restricted Share Units	Pisano, Wayne	4	2021-10-01	57		6,837	-8,134
Oncolytics Biotech Inc.	Common Shares	Seizinger, Bernd Robert	4	2021-09-30	57		248,442	6,101
Oncolytics Biotech Inc.	Common Shares	Seizinger, Bernd Robert	4	2021-10-01	57		256,576	8,134
Oncolytics Biotech Inc.	Rights Restricted Share Units	Seizinger, Bernd Robert	4	2021-09-30	57		16,421	-6,101
Oncolytics Biotech Inc.	Rights Restricted Share Units	Seizinger, Bernd Robert	4	2021-10-01	57		8,287	-8,134
Optimi Health Corp.	Common Shares	Stevens, Dane Nicholas	4, 5	2021-10-07	10	0.61	4,783,900	10,000
Optimi Health Corp.	Common Shares	Wilson, John James	4	2021-10-05	10	0.61	179,500	20,000
Optimi Health Corp.	Common Shares	Wilson, John James	4	2021-10-06	10	0.61	189,500	10,000
Optimi Health Corp.	Common Shares	Wilson, John James	4	2021-10-08	10	0.61	207,000	17,500
Optiva Inc. (formerly Redknee Solutions Inc.)	Rights Deferred Share Units	Duggal, Anuroop	4	2021-09-30	56	21.5	5,249	558
Optiva Inc. (formerly Redknee Solutions Inc.)	Rights Deferred Share Units	Matheson, Joseph Lee Grant	4	2021-09-30	56	21.5		878
Optiva Inc. (formerly Redknee Solutions Inc.)	Rights Deferred Share Units	Matheson, Joseph Lee Grant	4	2021-09-30	56	21.5	5,646	930
Optiva Inc. (formerly Redknee Solutions Inc.)	Rights Deferred Share Units	Meyer, John	4	2021-09-30	56	21.5	690	640
Optiva Inc. (formerly Redknee Solutions Inc.)	Rights Deferred Share Units	Stabile, Robert	4	2021-09-30	56	21.5	16,398	1,105
Orcus Resources Ltd.	Options	Moore, Brian Richard	4	2021-10-05	50	0.1	35,000	35,000
Orcus Resources Ltd.	Options	Peters, Timothy James	5	2021-08-27	00			
Orcus Resources Ltd.	Options	Peters, Timothy James	5	2021-10-05	50	0.1	35,000	35,000
Orcus Resources Ltd.	Options	Varshney, Deepak	3, 4, 5	2021-10-05	50	0.1	135,000	65,000
Orcus Resources Ltd.	Options	Varshney, Navin Kumar	4	2021-10-05	50	0.1	135,000	65,000
Orcus Resources Ltd.	Common Shares	Walker, James	3, 4	2021-08-04	11	0.05		150,000
Orcus Resources Ltd.	Common Shares	Walker, James	3, 4	2021-08-04	11	0.05		150,000
Orcus Resources Ltd.	Common Shares	Walker, James	3, 4	2021-09-03	00			
Orcus Resources Ltd.	Common Shares	Walker, James	3, 4	2021-09-03	00		650,000	
Orcus Resources Ltd.	Options	Walker, James	3, 4	2021-09-03	00			
Orcus Resources Ltd.	Options	Walker, James	3, 4	2021-09-03	00			
Orcus Resources Ltd.	Options	Walker, James	3, 4	2021-09-03	00			
Orcus Resources Ltd.	Options	Walker, James	3, 4	2021-09-03	00			
Orcus Resources Ltd.	Options	Walker, James	3, 4	2021-09-03	00		70,000	
Orcus Resources Ltd.	Options	Walker, James	3, 4	2021-10-05	50	0.1	135,000	65,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Origen Resources Inc.	Common Shares	Crest Resources Inc.	3	2021-10-01	10	0.323	5,634,000	9,000
Origen Resources Inc.	Common Shares	Crest Resources Inc.	3	2021-10-06	10	0.29	5,654,000	20,000
Origen Resources Inc.	Common Shares	Crest Resources Inc.	3	2021-10-07	10	0.31	5,743,000	89,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-16	38	15.112	132,000	132,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-16	38		0	-132,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-20	38	14.925	105,500	105,500
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-20	38		0	-105,500
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-21	38	15.183	138,000	138,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-21	38		0	-138,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-23	38	14.493	138,000	138,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-23	38		0	-138,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-24	38	14.376	138,000	138,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-24	38		0	-138,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-28	38	14.19	25,500	25,500
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-28	38		0	-25,500
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-29	38	14.139	138,000	138,000
OSISKO GOLD ROYALTIES LTD	Common Shares	OSISKO GOLD ROYALTIES LTD	1	2021-09-29	38		0	-138,000
Osisko Mining Inc.	Common Shares	Burzynski, John Feliks	4, 5	2021-10-07	10	2.54	436,200	11,900
Osisko Mining Inc.	Common Shares	Burzynski, John Feliks	4, 5	2021-10-07	10	2.51	443,800	7,600
Osisko Mining Inc.	Common Shares	Burzynski, John Feliks	4, 5	2021-10-08	10	2.53	25,700	10,700
Osisko Mining Inc.	Rights Deferred Share Units	Calderon, Bernardo Alvarez	4	2021-09-30	56	2.45	367,545	8,163
Osisko Mining Inc.	Rights Deferred Share Units	McKay, Keith Douglas	4	2021-09-30	56	2.45	409,516	11,224
Osisko Mining Inc.	Rights Deferred Share Units	Roosen, Sean	4, 6	2021-09-30	56	2.45	455,859	6,122
Osisko Mining Inc.	Rights Deferred Share Units	St-Germain, Andree	4	2021-09-30	56	2.45	74,425	4,974
Osisko Mining Inc.	Common Shares	Vizquerra, Jose	4	2021-10-05	10	2.4	348,011	12,000
Osisko Mining Inc.	Rights Deferred Share Units	Vizquerra, Jose	4	2021-09-30	56	2.45	210,140	3,826
Pampa Metals Corporation	Common Shares	Gill, Amrit Paul Singh	4	2021-09-30	00		822,500	
Paramount Resources Ltd.	Common Shares Class A	HAN, MICHAEL S.	5	2021-10-05	51	7.28	7,000	7,000
Paramount Resources Ltd.	Common Shares Class A	HAN, MICHAEL S.	5	2021-10-05	51	7.5	10,720	3,720
Paramount Resources Ltd.	Common Shares Class A	HAN, MICHAEL S.	5	2021-10-05	10	19.498	0	-10,720
Paramount Resources Ltd.	Options	HAN, MICHAEL S.	5	2021-10-05	51	7.28	196,000	-7,000
Paramount Resources Ltd.	Options	HAN, MICHAEL S.	5	2021-10-05	51	7.5	192,280	-3,720
ParcelPal Logistics Inc.	Common Shares	Faissal, Robert	4	2020-05-06	00			
ParcelPal Logistics Inc.	Common Shares	Faissal, Robert	4	2021-09-30	16		1,000,000	1,000,000
ParcelPal Logistics Inc.	Common Shares	Nuttall, Alex	4	2019-10-14	00			
ParcelPal Logistics Inc.	Common Shares	Nuttall, Alex	4	2021-09-30	16	0.11	1,000,000	1,000,000
ParcelPal Logistics Inc.	Common Shares	Storseth, Brian	4	2021-09-30	16	0.11	4,017,143	4,000,000

**Insider Reporting**

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ParcelPal Logistics Inc.	Common Shares	Wheeless, Rich	5	2021-09-30	16	0.11	9,000,000	7,000,000
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-01	38	20.99	59,671	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-02	38	20.99	119,342	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-03	38	20.99	179,013	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-07	38	20.99	238,684	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-08	38	20.99	298,355	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-09	38	20.99	358,026	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-10	38	20.99	417,697	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-13	38	20.99	477,368	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-14	38	20.99	537,039	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-15	38	20.99	596,710	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-16	38	20.99	656,381	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-17	38	20.99	716,052	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-20	38	20.99	775,723	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-21	38	20.99	835,394	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-22	38	20.99	895,065	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-23	38	20.99	954,736	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-24	38	20.99	1,014,407	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-27	38	20.99	1,074,078	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-28	38	20.99	1,133,749	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-29	38	20.99	1,193,420	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-30	38	20.99	1,253,091	59,671
Parex Resources Inc.	Common Shares	Parex Resources Inc.	1	2021-09-30	38		0	-1,253,091
Park Lawn Corporation	Common Shares	Dodds, Jay Dallas	4, 5	2021-09-17	57	37.776	21,971	10,246
Park Lawn Corporation	Restricted Share Units	Dodds, Jay Dallas	4, 5	2021-09-17	57	37.776	10,007	-10,246
Park Lawn Corporation	Common Shares	Green, James Bradley	4, 5	2021-09-17	57	37.776	22,516	10,246
Park Lawn Corporation	Restricted Share Units	Green, James Bradley	4, 5	2021-09-17	57	37.776	12,029	-10,246
Park Lawn Corporation	Common Shares	PARKER, JEFFREY SCOTT	5	2021-10-04	10	35.48	37	-4,450
Parkland Corporation	Common Shares	Bechtold, John Frederick	4	2021-10-04	30		40,725	367
Parkland Corporation	Common Shares	Colnett, Lisa	4	2021-10-04	30		2,130	218
Parkland Corporation	Common Shares	Hogarth, Timothy	4	2021-10-04	30		270,889	178
Parkland Corporation	Common Shares	Pantelidis, James	4	2021-10-04	30		239,413	965
Parkland Corporation	Common Shares	PILLA, DOMENICO	4	2021-10-04	30		6,459	288
Parkland Corporation	Common Shares	Richardson, Steven P.	4	2021-10-04	30		2,449	114
Parkland Corporation	Common Shares	Richardson, Steven P.	4	2021-10-04	30		2,563	114
Parkland Corporation	Common Shares	Spencer, David	4	2021-10-04	30		14,768	368
Parkland Corporation	Common Shares	Stein, Deborah Susan	4	2021-10-04	30		2,610	150
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-07	38	72.25	1,200	600
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-09	38	72.5	1,300	100
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-10	38	72.5	2,800	1,500
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-13	38	72.73	4,100	1,300
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-14	38	73.22	5,600	1,500
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-15	38	73.5	7,100	1,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-16	38	73.45	8,200	1,100
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-17	38	73.5	9,000	800
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-20	38	69.3	9,100	100
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-22	38	71	9,200	100
Partners Value Investments LP	Limited Partnership Units Equity Limited Partnership Units	Partners Value Investments LP	1	2021-09-29	38		0	-9,200
Pason Systems Inc.	DSU	Collins, T Jay	4	2021-09-30	50		92,498	533
Pason Systems Inc.	DSU	Collins, T Jay	4	2021-09-30	50		95,909	3,411
Pason Systems Inc.	DSU	Hess, Judi	4	2021-09-30	50		70,013	404
Pason Systems Inc.	DSU	Hess, Judi	4	2021-09-30	50		73,424	3,411
Pason Systems Inc.	DSU	Hess, Judi	4	2021-09-30	50			2,117
Pason Systems Inc.	DSU	Hess, Judi	4	2021-09-30	50		75,367	1,943
Pason Systems Inc.	DSU	Howe, James Brian	4	2021-09-30	50		38,591	223
Pason Systems Inc.	DSU	Howe, James Brian	4	2021-09-30	50		42,002	3,411
Pason Systems Inc.	DSU	Kessler, Marcel	4	2021-09-30	50		6,881	40
Pason Systems Inc.	DSU	Kessler, Marcel	4	2021-09-30	50		10,292	3,411
Pason Systems Inc.	Common Shares	Pason Systems Inc.	1	2021-09-03	38	8.44	11,400	11,400
Pason Systems Inc.	Common Shares	Pason Systems Inc.	1	2021-09-07	38	8.44	67,200	55,800
Pason Systems Inc.	Common Shares	Pason Systems Inc.	1	2021-09-08	38	8.3	131,293	64,093
Pason Systems Inc.	Common Shares	Pason Systems Inc.	1	2021-09-09	38	8.08	180,586	49,293
Pason Systems Inc.	Common Shares	Pason Systems Inc.	1	2021-09-10	38	8.21	294,879	114,293
Pason Systems Inc.	Common Shares	Pason Systems Inc.	1	2021-09-13	38	8.22	359,879	65,000
Pason Systems Inc.	Common Shares	Pason Systems Inc.	1	2021-10-06	38		0	-359,879
Pason Systems Inc.	DSU	Schwinn, Laura	4	2021-09-30	50		17,434	101
Pason Systems Inc.	DSU	Schwinn, Laura	4	2021-09-30	50		20,845	3,411
Payfare Inc.	Common Shares	Deslippe, Ryan Charles	5	2021-10-01	30	10.55	2,149,605	-2,300
Payfare Inc.	Common Shares	Margiotta, Marco	4, 5	2021-10-01	30	10.55	1,008,771	-2,300
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	Dumas, Mark	4	2021-10-01	11	9.39	365,680	24,035
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	JOSEPH, Johnson	4, 5	2021-10-01	11	9.39	3,144,654	2,711,148
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	Landreville, Jean	5	2021-10-01	11	9.39	237,435	19,035
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	Qiu, Liang	4	2021-10-01	11	9.39	3,383,337	1,672,836
Peak Fintech Group Inc. (formerly Peak Positioning Technologies Inc.)	Common Shares	Tessier, Charles-Andr�	4	2021-10-01	11	9.39	144,784	24,035
Perk Labs Inc.	Restricted share units	Cadigan, Steven	4	2021-10-01	56		1,060,037	115,385
Perk Labs Inc.	Restricted share units	Herrington, Kirk	4	2021-10-01	56		1,413,380	153,846
Perk Labs Inc.	Common Shares	Hoyles, Jonathan	4, 5	2021-10-01	10	0.065	3,365,986	20,000
Perk Labs Inc.	Common Shares	Hoyles, Jonathan	4, 5	2021-10-06	10	0.06	3,384,986	19,000
Perk Labs Inc.	Common Shares	Hoyles, Jonathan	4, 5	2021-10-06	10	0.065	3,385,986	1,000
Perk Labs Inc.	Common Shares	Hoyles, Jonathan	4, 5	2021-10-07	10	0.055	3,386,986	1,000
Perk Labs Inc.	Restricted share units	Hoyles, Jonathan	4, 5	2021-10-01	56		2,059,329	47,338

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Perk Labs Inc.	Restricted share units	Tan, Norman Ming	5	2021-10-01	56		1,230,438	35,504
Perk Labs Inc.	Restricted share units	Timlick, Larry Elwood	4	2021-10-01	56		1,060,037	115,385
Perk Labs Inc.	Restricted share units	Topham, James Walter	4	2021-10-01	56		1,413,380	153,846
Perk Labs Inc.	Common Shares	Zhang, Jian Qun	5	2021-10-01	46	0.065	2,236,487	123,077
Perk Labs Inc.	Common Shares	Zhang, Jian Qun	5	2021-10-01	46	0.065	2,253,153	16,666
Permex Petroleum Corporation	Common Shares	Kelly, Scott	4, 5	2021-07-12	10	0.095	685,000	40,000
Permex Petroleum Corporation	Common Shares	Kelly, Scott	4, 5	2021-07-13	10	0.09	700,000	15,000
Pershimex Resources Corporation	Common Shares	Bureau, Roger	3, 4, 6	2021-10-07	10	0.05	11,627,333	40,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-10-07	10	0.115	10,704,071	-34,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-10-07	10	0.13	10,680,071	-24,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-10-08	10	0.135	10,660,071	-20,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	Brown, William Richard	4	2021-10-08	97	0.12	10,658,071	-2,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-06	10	0.107	19,053,252	25,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-06	10	0.11	19,076,252	23,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-06	10	0.0115	19,173,752	97,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-06	10	0.12	19,296,252	122,500
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-07	10	0.11	19,323,252	27,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-07	10	0.115	19,333,252	10,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-07	10	0.12	19,348,252	15,000
Peruvian Metals Corp. (Formerly Duran Ventures Inc.)	Common Shares Unlimited, No Par Value	TARTISAN NICKEL CORP.	3	2021-10-07	10	0.125	19,373,252	25,000
Petro-Victory Energy Corp.	Common Shares Class A	Scruggs, Mark Read	4	2021-10-04	10	2.32	39,300	500
Petrus Resources Ltd.	Common Shares	Gray, Kenneth Graham	4	2021-10-05	10	0.6131	33,400	10,000
Petrus Resources Ltd.	Options New Options	Gray, Kenneth Graham	4	2021-10-05	50	0.75	1,250,000	550,000
Petrus Resources Ltd.	Options New Options	Verburg, Peter Julius	4	2021-06-29	00			
Petrus Resources Ltd.	Options New Options	Verburg, Peter Julius	4	2021-10-05	50	0.75	25,000	25,000
Petrus Resources Ltd.	Options New Options	Wong, Mathew	5	2021-10-05	50	0.75	482,012	400,000
Peyto Exploration & Development Corp.	Common Shares	Chetner, Stephen Jonathan	4	2021-10-08	10	10.302	90,248	4,000
Peyto Exploration & Development Corp.	Common Shares	Lachance, Jean-Paul Henri	5	2021-10-07	10	9.6	142,150	10,000
Peyto Exploration & Development Corp.	Common Shares	Robinson, Scott	5	2021-10-04	10	9.5689	391,507	10,000
Phenom Resources Corp.	Common Shares	cowley, paul	4	2021-10-04	51	0.1	279,280	200,000
Phenom Resources Corp.	Common Shares	cowley, paul	4	2021-10-04	52	0.1		-200,000

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Phenom Resources Corp.	Common Shares	cowley, paul	4	2021-10-04	52	0.1		-200,000
Phenom Resources Corp.	Options	cowley, paul	4	2021-10-04	51	0.1	1,125,000	-200,000
PHX Energy Services Corp.	Common Shares	Buker, Michael Leslie	5	2021-10-08	51	4.15	158,900	10,000
PHX Energy Services Corp.	Common Shares	Buker, Michael Leslie	5	2021-10-08	10	5.16	158,000	-900
PHX Energy Services Corp.	Common Shares	Buker, Michael Leslie	5	2021-10-08	10	5.15	148,900	-9,100
PHX Energy Services Corp.	Options	Buker, Michael Leslie	5	2021-10-08	51	4.15	687,400	-10,000
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	David-Green, Karen	4	2021-08-19	56	4.5	25,822	21,125
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	David-Green, Karen	4	2021-09-30	56	4.66	26,143	321
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Freeman, Terrance	4	2021-09-30	57		110,651	-321
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Freeman, Terrance	4	2021-09-30	56	4.696	110,811	160
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Freeman, Terrance	4	2021-10-01	57		110,730	-81
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	2021-09-30	57			-473
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	2021-09-30	57		150,672	-473
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	2021-09-30	56	4.66	151,315	643
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	2021-10-01	57			-163
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hibbard, Lawrence M.	4	2021-10-01	57		151,152	-163
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	2021-09-30	57			-473
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	2021-09-30	57		422,687	-473
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	2021-09-30	56	4.66	423,008	321
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	2021-10-01	57		422,845	-163
PHX Energy Services Corp.	Common Shares	Ritchie, Cameron Michael	5	2021-10-08	51	4.06	78,421	10,000
PHX Energy Services Corp.	Common Shares	Ritchie, Cameron Michael	5	2021-10-08	10	5.12	78,221	-200
PHX Energy Services Corp.	Common Shares	Ritchie, Cameron Michael	5	2021-10-08	10	5.11	76,121	-2,100
PHX Energy Services Corp.	Common Shares	Ritchie, Cameron Michael	5	2021-10-08	10	5.1	68,421	-7,700
PHX Energy Services Corp.	Options	Ritchie, Cameron Michael	5	2021-10-08	51	4.06	560,100	-10,000
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Tetreault, Myron Arthur	4	2021-09-30	57		159,722	-473
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Tetreault, Myron Arthur	4	2021-09-30	56	4.66	160,365	643
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Thomas, Roger Dale	4	2021-09-30	57		121,428	-481
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Thomas, Roger Dale	4	2021-09-30	56	4.66	121,910	482
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Thomas, Roger Dale	4	2021-10-01	57		121,788	-122
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-10-06	10	0.74	20,216,500	-50,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-10-07	10	0.79	20,166,500	-50,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-10-07	10	0.78	20,141,500	-25,000



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Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-10-07	10	0.78	20,116,500	-25,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-10-07	10	0.75	20,066,500	-50,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-10-06	10	0.74	17,188,000	-50,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2021-10-07	10	0.785	16,788,000	-400,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	van Kessel, Daniel	5	2021-10-07	90		34,114	4,057
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Wanklyn, Robert Paul	4, 5	2021-10-04	90		508,651	11,733
Pivotree Inc.	Common Shares	Byrne, Stephen	4	2021-10-08	57	3.25	54,620	1,149
Pivotree Inc.	Deferred Share Units	Byrne, Stephen	4	2021-10-08	57	3.25	0	-1,149
Pivotree Inc.	Common Shares	Di Nardo, William	4, 5	2021-10-06	10	4.23	183,330	500
Pivotree Inc.	Common Shares	Di Nardo, William	4, 5	2021-10-06	10	4.162	559,608	1,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Leigh, Frederic	4, 5	2021-10-07	10	0.435	1,863,000	13,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Leigh, Frederic	4, 5	2021-10-07	10	0.4393	1,950,000	87,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Common Shares	Leigh, Frederic	4, 5	2021-10-08	10	0.45	2,050,000	100,000
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Options	Moxness, Ralph Allan	4	2021-02-26	00			
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Options	Moxness, Ralph Allan	4	2021-02-26	00		150,000	
PlantX Life Inc. (formerly, Vegaste Technologies Corp.)	Warrants	Moxness, Ralph Allan	4	2021-02-26	00			
Playground Ventures Inc. (formerly, Blocplay Entertainment Inc.)	Common Shares	Fairhurst, Emma	3	2020-11-20	00			
Playground Ventures Inc. (formerly, Blocplay Entertainment Inc.)	Common Shares	Fairhurst, Emma	3	2021-10-01	11		12,000,000	12,000,000
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-01	38	4.58	400	100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-02	38	4.59	550	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-03	38	4.58	700	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-07	38	4.56	850	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-08	38	4.54	1,000	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-09	38	4.55	1,150	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-10	38	4.54	1,250	100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-13	38	4.52	1,350	100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-14	38	4.57	1,450	100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-15	38	4.52	1,550	100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-16	38	4.52	1,700	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-17	38	4.51	1,850	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-20	38	4.49	2,000	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-21	38	4.54	2,150	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-22	38	4.54	2,250	100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-23	38	4.55	2,400	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-24	38	4.56	2,550	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-27	38	4.58	2,700	150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-28	38	4.56	2,800	100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		2,650	-150

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Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		2,500	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		2,400	-100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		2,250	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		2,100	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,950	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,800	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,650	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,550	-100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,450	-100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,350	-100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,250	-100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		1,100	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		950	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		800	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		650	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		550	-100
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		400	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		250	-150
Plaza Retail REIT	Trust Units	Plaza Retail REIT	1	2021-09-29	38		100	-150
Pond Technologies Holdings Inc.	Rights DSU	Asselstine, William	4	2021-09-30	56		217,380	11,250
Pond Technologies Holdings Inc.	Rights DSU	Farah Jr, John M	4	2021-06-29	00			
Pond Technologies Holdings Inc.	Rights DSU	Farah Jr, John M	4	2021-09-30	56		8,125	8,125
Pond Technologies Holdings Inc.	Rights DSU	Gamble, Jacob	4	2021-09-30	56		51,624	33,559
Pond Technologies Holdings Inc.	Rights DSU	McLeese, Robert Stewart	4	2021-09-30	56		240,904	13,125
Power Corporation of Canada	Deferred Share Units	Beaudoin, Pierre	4	2021-09-30	56	40.523	100,059	2,344
Power Corporation of Canada	Deferred Share Units	Coutu, Marcel R.	4, 7	2021-09-30	56	40.295	72,907	1,415
Power Corporation of Canada	Deferred Share Units	Desmarais, Andr�	4, 7	2021-09-30	56	40.639		3,647
Power Corporation of Canada	Deferred Share Units	Desmarais, Andr�	4, 7	2021-09-30	56	40.639		3,647
Power Corporation of Canada	Deferred Share Units	Desmarais, Andr�	4, 7	2021-09-30	56	40.639	139,285	3,647
Power Corporation of Canada	PFC Deferred Share Units	Desmarais, Andr�	4, 7	2021-09-30	30	39.332	123,811	1,393
Power Corporation of Canada	Deferred Share Units	Desmarais, Paul Jr.	4, 7	2021-09-30	56	40.658	101,085	2,697
Power Corporation of Canada	PFC Deferred Share Units	Desmarais, Paul Jr.	4, 7	2021-09-30	30	39.332	87,510	985
Power Corporation of Canada	Deferred Share Units	Doer, Gary Albert	4, 7	2021-09-30	56	41.179	26,429	1,530
Power Corporation of Canada	PFC Deferred Share Units	Doer, Gary Albert	4, 7	2021-09-30	30	39.332	19,204	216
Power Corporation of Canada	Deferred Share Units	Graham, Anthony R.	4	2021-09-30	56	40.551	120,817	2,905
Power Corporation of Canada	PFC Deferred Share Units	Graham, Anthony R.	4	2021-09-30	30	39.332	90,201	1,015
Power Corporation of Canada	Deferred Share Units	Jackson, John David Allan	4, 7	2021-09-30	56	40.82	28,535	916
Power Corporation of Canada	PFC Deferred Share Units	Jackson, John David Allan	4, 7	2021-09-30	30	39.332	20,278	228

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Power Corporation of Canada	Deferred Share Units	MacLeod, Sharon	4	2021-09-30	56	41.571	1,893	930
Power Corporation of Canada	Deferred Share Units	Madoff, Paula Beth	4, 7	2021-09-30	56	41.426	5,004	650
Power Corporation of Canada	Deferred Share Units	Marcoux, Isabelle	4	2021-09-30	56	40.68	78,004	2,132
Power Corporation of Canada	PFC Deferred Share Units	McArthur, Susan J.	7	2021-09-30	30	39.332	9,263	104
Power Corporation of Canada	Deferred Share Units	Noyer, Christian	4	2021-09-30	56	41.082	34,346	1,634
Power Corporation of Canada	Deferred Share Units	Orr, Robert Jeffrey	4, 7, 5	2021-09-30	56	40.198	87,036	1,573
Power Corporation of Canada	PFC Deferred Share Units	Orr, Robert Jeffrey	4, 7, 5	2021-09-30	30	39.332	83,798	943
Power Corporation of Canada	Deferred Share Units	Plessis-B��lair, Michel	5	2021-09-30	56	39.332	35,269	396
Power Corporation of Canada	PFC Deferred Share Units	Plessis-B��lair, Michel	5	2021-09-30	30	39.332	36,806	414
Power Corporation of Canada	Subordinate Voting Shares	Power Corporation of Canada	1	2021-09-14	38	43.838	250,000	250,000
Power Corporation of Canada	Subordinate Voting Shares	Power Corporation of Canada	1	2021-09-14	38	43.838	0	-250,000
Power Corporation of Canada	Subordinate Voting Shares	Power Corporation of Canada	1	2021-09-15	38	43.973	280,000	280,000
Power Corporation of Canada	Subordinate Voting Shares	Power Corporation of Canada	1	2021-09-15	38	43.973	0	-280,000
Power Corporation of Canada	Subordinate Voting Shares	Power Corporation of Canada	1	2021-09-16	38	43.593	35,000	35,000
Power Corporation of Canada	Subordinate Voting Shares	Power Corporation of Canada	1	2021-09-16	38	43.593	0	-35,000
Power Corporation of Canada	Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 7	2021-09-30	56	41.213	23,920	1,503
Power Corporation of Canada	PFC Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 7	2021-09-30	30	39.332	15,582	175
Power Corporation of Canada	Deferred Share Units	Vanaselja, Siim A.	4, 7	2021-09-30	56	41.426	11,510	1,496
Power Corporation of Canada	PFC Deferred Share Units	Vanaselja, Siim A.	4, 7	2021-09-30	30	39.332	14,955	168
Power Financial Corporation	PFC Deferred Share Units	Desmarais, Andr��	4, 6, 7	2021-09-30	30	39.332	123,811	1,393
Power Financial Corporation	PFC Deferred Share Units	Desmarais, Paul Jr.	4, 6, 7	2021-09-30	30	39.332	87,510	985
Power Financial Corporation	PFC Deferred Share Units	Doer, Gary Albert	4, 6, 7	2021-09-30	30	39.332	19,204	216
Power Financial Corporation	PFC Deferred Share Units	Graham, Anthony R.	4	2021-09-30	30	39.332	90,201	1,015
Power Financial Corporation	PFC Deferred Share Units	Jackson, John David Allan	4	2021-09-30	30	39.332	20,278	228
Power Financial Corporation	PFC Deferred Share Units	McArthur, Susan J.	4	2021-09-30	30	39.332	9,263	104
Power Financial Corporation	PFC Deferred Share Units	Orr, Robert Jeffrey	4, 6, 7, 5	2021-09-30	30	39.332	83,798	943
Power Financial Corporation	PFC Deferred Share Units	Plessis-B��lair, Michel	5	2021-09-30	30	39.332	36,806	414
Power Financial Corporation	PFC Deferred Share Units	Ryan, Thomas Timothy, Jr.	4, 6, 7	2021-09-30	30	39.332	15,582	175
Power Financial Corporation	PFC Deferred Share Units	Vanaselja, Siim A.	4, 6, 7	2021-09-30	30	39.332	14,955	168
PrairieSky Royalty Ltd.	Common Shares	PrairieSky Royalty Ltd.	1	2021-09-30	38	13.495	203,800	193,800
PrairieSky Royalty Ltd.	Common Shares	PrairieSky Royalty Ltd.	1	2021-09-30	38		14,400	-189,400
Precision Drilling Corporation	Deferred Share Units effective March 1, 2021	Culbert, Michael Robert	4	2021-09-30	56		3,839	1,016

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Precision Drilling Corporation	Deferred Share Units effective March 1, 2021	Donovan, William T.	4	2021-09-30	56		2,848	754
Precision Drilling Corporation	Common Shares	FORD, CAREY THOMAS	7	2021-09-30	30		13,978	332
Precision Drilling Corporation	Deferred Share Units effective March 1, 2021	Gibson, Brian James	4	2021-09-30	56		2,848	754
Precision Drilling Corporation	Deferred Share Units effective March 1, 2021	Krablin, Steven Wayne	4	2021-09-30	56		2,848	754
Precision Drilling Corporation	Deferred Share Units effective March 1, 2021	MacKenzie, Susan Mary	4	2021-09-30	56		2,848	754
Precision Drilling Corporation	Deferred Share Units effective March 1, 2021	Meyers, Kevin Omar	4	2021-09-30	56		2,848	754
Precision Drilling Corporation	Deferred Share Units effective March 1, 2021	WILLIAMS, DAVID	4	2021-09-30	56		2,848	754
Premium Brands Holdings Corporation	Rights	Ciampi, Johnny	4	2021-09-15	56	133.85		524
Premium Brands Holdings Corporation	Rights	Ciampi, Johnny	4	2021-09-15	56	133.85	525	160
Premium Brands Holdings Corporation	Rights	Keller-Hobson, Kathleen	4	2021-09-15	56	133.85		481
Premium Brands Holdings Corporation	Rights	Keller-Hobson, Kathleen	4	2021-09-15	56	133.85	482	147
Premium Brands Holdings Corporation	Rights	Wagner, Mary Kathryn	4	2021-09-15	56	133.85		931
Premium Brands Holdings Corporation	Rights	Wagner, Mary Kathryn	4	2021-09-15	56	133.85	931	287
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-01	38	17.82	2,806	2,806
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-02	38	17.87	5,603	2,797
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-03	38	17.8	8,411	2,808
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-07	38	17.71	11,226	2,815
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-08	38	17.56	14,049	2,823
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-09	38	17.46	16,912	2,863
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-10	38	17.21	19,674	2,762
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-13	38	17.22	22,580	2,906
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-14	38	17.22	25,483	2,903
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-15	38	17.1	28,381	2,898
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-16	38	16.93	31,333	2,952
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-17	38	16.67	34,332	2,999
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-20	38	16.32	100,461	66,129

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-21	38	16.48	164,778	64,317
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-22	38	16.45	229,341	64,563
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-23	38	16.51	232,369	3,028
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-24	38	16.31	283,292	50,923
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-27	38	16.31	286,357	3,065
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-28	38	15.95	289,492	3,135
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-29	38	15.93	292,629	3,137
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-30	38	15.82	295,788	3,159
Primo Water Corporation (formerly, Cott Corporation)	Common Shares	Primo Water Corporation	1	2021-09-30	38		0	-295,788
Pro Real Estate Investment Trust	Units	Collingwood Investments Incorporated	3	2021-10-06	16	6.85	11,371,907	2,085,744
Project One Resources Ltd.	Common Shares	george, jonathan	4	2021-10-01	51	0.19	80,000	80,000
Psyence Group Inc. (formerly Cardinal Capital Partners Inc.)	Common Shares	Aufrichtig, Jody	4, 5	2021-09-29	10	0.215	1,646,934	5,000
Psyence Group Inc. (formerly Cardinal Capital Partners Inc.)	Common Shares	Aufrichtig, Jody	4, 5	2021-09-29	10	0.22	1,665,934	19,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-01	38	31.74	50,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-02	38	31.82	100,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-03	38	31.75	150,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-07	38	31.48	200,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-08	38	31.53	250,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-09	38	31.36	300,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-10	38	31.33	350,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-13	38	31.39	400,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-14	38	31.24	450,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-15	38	30.88	500,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-16	38	30.6	550,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-17	38	30.6	600,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-20	38	30.41	650,000	50,000
Quebecor Inc.	Subordinate Voting Shares Cat@gorie B	Quebecor inc.	1	2021-09-21	38	30.49	700,000	50,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-22	38	30.72	750,000	50,000
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-23	38	30.84	800,000	50,000
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-24	38	30.86	850,000	50,000
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-27	38	30.65	900,000	50,000
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-28	38	30.12	950,000	50,000
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-29	38	30.61	1,000,000	50,000
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-30	38	30.63	1,050,000	50,000
Quebecor Inc.	Subordinate Voting Shares CatOgorie B	Quebecor inc.	1	2021-09-30	38		0	-1,050,000
QuestEx Gold & Copper Ltd. (formerly Colorado Resources Ltd.)	Common Shares	Thiessen, Tim	5	2021-10-04	10	0.79	51,733	5,000
QuestEx Gold & Copper Ltd. (formerly Colorado Resources Ltd.)	Common Shares	Thiessen, Tim	5	2021-10-08	10	0.79	56,733	5,000
QYOU Media Inc.	Common Shares	Paterson, G. Scott	4	2021-09-30	54	0.1	13,740,728	1,500,000
QYOU Media Inc.	Common Shares	Paterson, G. Scott	4	2021-09-30	54	0.1	11,509,000	1,000,000
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2021-09-30	54		0	-1,500,000
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2021-09-30	54		1,250,000	-1,000,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-04	38	9.5177	10,800	10,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-04	38	9.5177	0	-10,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-05	38	9.5355	10,800	10,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-05	38	9.5355	0	-10,800
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-06	38	9.4702	12,000	12,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-06	38	9.4702	0	-12,000
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-07	38	9.4134	11,900	11,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-07	38	9.4134	0	-11,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-08	38	9.341	11,900	11,900
Real Matters Inc.	Common Shares	Real Matters Inc.	1	2021-10-08	38	9.341	0	-11,900
Red Pine Exploration Inc.	Options	Goldman, Rachel	4	2021-09-07	00			
Red Pine Exploration Inc.	Options	Goldman, Rachel	4	2021-09-30	50		100,000	100,000
Restaurant Brands International Inc.	Units Restricted Shares	Cil, JosE E.	5	2021-10-05	35	61.95	1,076,200	9,129
Restaurant Brands International Inc.	Units Restricted Shares	Domanko, Jonathan	7	2021-10-05	35	77.95	9,539	81
Restaurant Brands International Inc.	Units Restricted Shares	Dunnigan, Matthew	5	2021-10-05	35	61.95	245,259	2,080
Restaurant Brands International Inc.	Units Restricted Shares	Friesner, Jacqueline	5	2021-10-05	35	61.95	71,111	603
Restaurant Brands International Inc.	Units Restricted Shares	Granat, Jill	5	2021-10-05	35	61.95	165,218	1,401
Restaurant Brands International Inc.	Units Restricted Shares	Keusch, Michele	7	2021-10-05	35	61.95	6,932	59
Restaurant Brands International Inc.	Units Restricted Shares	Kobza, Joshua	5	2021-10-05	35	61.95	682,412	5,789
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-01	38	64.47	133,309	46,723
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-02	38	64.87	211,745	78,436
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-03	38	64.48	279,895	68,150

**Insider Reporting**

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Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-03	38		146,586	-133,309
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-07	38	64.15	211,326	64,740
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-08	38	64.21	261,132	49,806
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-09	38	64.51	300,670	39,538
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-10	38	65.1	358,991	58,321
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-10	38		97,859	-261,132
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-13	38	65.06	151,720	53,861
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-14	38	64.63	219,088	67,368
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-15	38	64.19	294,088	75,000
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-16	38	63.27	414,088	120,000
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-17	38	62.81	527,814	113,726
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-17	38		233,726	-294,088
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-20	38	61.33	412,735	179,009
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-21	38		179,009	-233,726
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-09-24	38		0	-179,009
Restaurant Brands International Inc.	Common Shares	Restaurant Brands International Inc.	1	2021-10-01	38	64.47		46,723
Restaurant Brands International Inc.	Units Restricted Shares	Schwan, Axel	5	2021-10-05	35	61.95	116,383	987
Restaurant Brands International Inc.	Units Restricted Shares	Shear, David Chan	5	2021-10-05	35	61.95	199,673	1,694
Restaurant Brands International Inc.	Units Restricted Shares	Siddiqui, Sami	5	2021-10-05	35	61.95	171,546	1,455
Restaurant Brands International Inc.	Units Restricted Shares	Sturm, Markus	7	2021-10-05	35	77.95	101,741	906
Restaurant Brands International Inc.	Units Restricted Shares	Tome, Vicente	7	2021-10-05	35	61.95	9,872	84
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-01	10	17.15	13,084,335	-2,701
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-01	10	17.15	13,086,960	2,625
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-05	10	17.2	13,090,489	3,529
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-05	10	17.2	13,086,865	-3,624
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-06	10	17.15	13,092,087	5,222
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-06	10	17.15	13,090,722	-1,365
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-07	10	17.15	13,095,263	4,541

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2021-10-07	10	17.15	13,091,941	-3,322
Rio2 Limited	Common Shares	Cox, Andrew	5	2021-10-01	10	0.55	224,799	5,000
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Fukakusa, Janice Rose	4	2021-05-26	00		30,000	
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Kim, Rocky	7	2021-10-06	30		1,295	140
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Lee, Kim	5	2021-10-08	30		351	271
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Smith, Franca	5	2021-10-06	30		545	143
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Sturm, Naftali	8	2021-09-29	30		6,275	66
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Sturm, Naftali	8	2021-10-06	30		3,633	36
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Wong, Jason	7	2021-10-07	30		1,575	94
Riverside Resources Inc.	Common Shares	Staupe, John-Mark Gardner	5	2021-10-01	10	0.135	610,000	20,000
Rogers Communications Inc.	Common Shares Class A Voting	Clappison, John	4	2021-09-29	00		400	
Rogers Communications Inc.	Deferred Share Units	Clappison, John	4	2021-09-29	00		20,168	
Rogers Communications Inc.	Non-Voting Shares Class B	Clappison, John	4	2021-09-29	00		6,469	
Rogers Communications Inc.	Non-Voting Shares Class B	Clappison, John	4	2021-09-29	00		1,000	
Rogers Communications Inc.	Deferred Share Units	Molnar, Paulina	5	2021-09-29	00		6,237	
Rogers Communications Inc.	Non-Voting Shares Class B	Molnar, Paulina	5	2021-09-29	00		2,310	
Rogers Communications Inc.	Restricted Share Units	Molnar, Paulina	5	2021-09-29	00		16,758	
Rogers Sugar Inc.	Common Shares	BERGMAME, Dean	4	2021-10-04	10	5.46	58,481	1,065
Rogers Sugar Inc.	Common Shares	Collins, Gary	4	2021-10-04	10	5.48	4,454	1,065
Rogers Sugar Inc.	Common Shares	Heskin, Michael Andrew	7	2021-10-04	10	5.48	60,914	1,065
Rogers Sugar Inc.	Common Shares	Jewell, Donald	7	2021-10-04	10	5.48	129,013	1,065
Rogers Sugar Inc.	Common Shares	Lafrance, Daniel	4	2021-10-04	10	5.46	60,877	1,065
Rogers Sugar Inc.	Common Shares	MASLECHKO, WILLIAM STEPHEN	4	2021-10-04	10	5.48	44,705	1,065
Rogers Sugar Inc.	Common Shares	Ross, M. Dallas H.	4	2021-10-04	10	5.46	116,353	1,400
Rogers Sugar Inc.	Common Shares	Wilkes, Stephanie Ruth	4	2021-10-04	10	5.48	14,520	1,065
Roughrider Exploration Limited (formerly, Westham Resources Corp.)	Common Shares	morgan, fletcher	4	2021-10-01	10		98,000	5,000
Roughrider Exploration Limited (formerly, Westham Resources Corp.)	Common Shares	morgan, fletcher	4	2021-10-04	10		143,000	45,000
Royal Road Minerals Limited	Warrants	Stone, Marcus Kraig	4	2020-12-09	00		500,000	
Royal Road Minerals Limited	Warrants	Stone, Marcus Kraig	4	2021-09-22	53		1,000,000	500,000
Rubellite Energy Inc.	Common Shares	Benson, Holly	4	2021-10-04	11	2	125,000	125,000
Rubellite Energy Inc.	Common Shares	Goosen, Ryan	5	2021-10-04	54	2	10,288	6,000
Rubellite Energy Inc.	Warrants	Goosen, Ryan	5	2021-09-16	54	2		-6,000
Rubellite Energy Inc.	Warrants	Goosen, Ryan	5	2021-09-16	54	2		-4,500
Rubellite Energy Inc.	Warrants	Goosen, Ryan	5	2021-09-20	54	2		-1,500
Rubellite Energy Inc.	Warrants	Goosen, Ryan	5	2021-10-04	54	2	1,500	-4,500



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Rubellite Energy Inc.	Warrants	Goosen, Ryan	5	2021-10-04	54	2	0	-1,500
Rubellite Energy Inc.	Common Shares	Green, Jeff	5	2021-10-04	54	2	73,875	68,193
Rubellite Energy Inc.	Warrants	Green, Jeff	5	2021-10-04	54	2	0	-68,193
Rubellite Energy Inc.	Common Shares	MacDonald, Tamara	4	2021-10-04	11	2	37,500	37,500
Rubellite Energy Inc.	Common Shares	Maitland, Robert A.	7	2021-10-04	54	2	6,046	5,582
Rubellite Energy Inc.	Common Shares	Maitland, Robert A.	7	2021-10-04	11	2	156,046	150,000
Rubellite Energy Inc.	Common Shares	Maitland, Robert A.	7	2021-10-04	54	2	27,756	25,621
Rubellite Energy Inc.	Warrants	Maitland, Robert A.	7	2021-10-04	54	2	0	-5,582
Rubellite Energy Inc.	Warrants	Maitland, Robert A.	7	2021-10-04	54	2	0	-25,621
Rubellite Energy Inc.	Common Shares	McKean, Linda Lee	5	2021-10-04	54	2	180,337	166,465
Rubellite Energy Inc.	Warrants	McKean, Linda Lee	5	2021-10-04	54	2	0	-166,465
Rubellite Energy Inc.	Warrants	McKean, Linda Lee	5	2021-10-04	55		0	-266
Rubellite Energy Inc.	Common Shares	Merritt, Geoffrey Craig	7	2021-10-04	54	2	23,357	21,561
Rubellite Energy Inc.	Common Shares	Merritt, Geoffrey Craig	7	2021-10-04	11	2	53,357	30,000
Rubellite Energy Inc.	Warrants	Merritt, Geoffrey Craig	7	2021-09-13	53			21,566
Rubellite Energy Inc.	Warrants	Merritt, Geoffrey Craig	7	2021-09-13	53		21,561	21,561
Rubellite Energy Inc.	Warrants	Merritt, Geoffrey Craig	7	2021-10-04	54	2	0	-21,561
Rubellite Energy Inc.	Common Shares	Perpetual Energy Inc.	3	2021-10-04	97		0	-680,485
Rubellite Energy Inc.	Common Shares	Rapini, Marcello	5	2021-09-10	97		580	580
Rubellite Energy Inc.	Common Shares	Rapini, Marcello	5	2021-09-21	97		722	142
Rubellite Energy Inc.	Common Shares	Rapini, Marcello	5	2021-09-29	97		2,316	1,594
Rubellite Energy Inc.	Common Shares	Rapini, Marcello	5	2021-10-04	54	2	23,158	20,842
Rubellite Energy Inc.	Warrants	Rapini, Marcello	5	2021-09-10	53		6,961	6,961
Rubellite Energy Inc.	Warrants	Rapini, Marcello	5	2021-09-21	53		8,675	1,714
Rubellite Energy Inc.	Warrants	Rapini, Marcello	5	2021-09-29	53		27,803	19,128
Rubellite Energy Inc.	Warrants	Rapini, Marcello	5	2021-10-01	10	0.165	20,842	-6,961
Rubellite Energy Inc.	Warrants	Rapini, Marcello	5	2021-10-04	54	2	0	-20,842
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	54	2	798,139	736,744
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	54	2	5,857,331	5,406,767
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	11	2	12,285,061	6,427,730
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	54	2	11,351	10,478
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	54	2	285,812	263,826
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	11	2	400,000	114,188
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	54	2	1,785	1,648
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	11	2	26,785	25,000
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-07-12	00			
Rubellite Energy Inc.	Common Shares	Riddell Rose, Susan	4, 5	2021-10-04	11	2	10,000	10,000
Rubellite Energy Inc.	Warrants	Riddell Rose, Susan	4, 5	2021-10-04	54	2	0	-736,744
Rubellite Energy Inc.	Warrants	Riddell Rose, Susan	4, 5	2021-10-04	54	2	0	-5,406,767
Rubellite Energy Inc.	Warrants	Riddell Rose, Susan	4, 5	2021-10-04	54	2	0	-10,478
Rubellite Energy Inc.	Warrants	Riddell Rose, Susan	4, 5	2021-10-04	54	2	0	-263,826
Rubellite Energy Inc.	Warrants	Riddell Rose, Susan	4, 5	2021-10-04	54	2	0	-1,648
Rubellite Energy Inc.	Common Shares	Shay, Ryan	4, 5	2021-10-04	54	2	8,195	7,565
Rubellite Energy Inc.	Common Shares	Shay, Ryan	4, 5	2021-10-04	11	2	314,695	306,500
Rubellite Energy Inc.	Common Shares	Shay, Ryan	4, 5	2021-10-04	54	2	356,086	328,695
Rubellite Energy Inc.	Common Shares	Shay, Ryan	4, 5	2021-10-04	11	2	514,586	158,500
Rubellite Energy Inc.	Warrants	Shay, Ryan	4, 5	2021-10-04	53	2		-7,565
Rubellite Energy Inc.	Warrants	Shay, Ryan	4, 5	2021-10-04	54	2	0	-7,565
Rubellite Energy Inc.	Warrants	Shay, Ryan	4, 5	2021-10-04	54	2	0	-328,695
Rubellite Energy Inc.	Common Shares	Shultz, Bruce	4	2021-10-04	11	2	200,000	200,000
Rubellite Energy Inc.	Common Shares	Ward, Howard	7	2021-10-04	54	2	4,468	4,125

**Insider Reporting**

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Rubellite Energy Inc.	Common Shares	Ward, Howard	7	2021-10-04	54	2	4,865	4,491
Rubellite Energy Inc.	Common Shares	Ward, Howard	7	2021-10-04	54	2	2,517	2,324
Rubellite Energy Inc.	Common Shares	Ward, Howard	7	2021-10-04	54	2	908	839
Rubellite Energy Inc.	Common Shares	Ward, Howard	7	2021-10-04	54	2	281	260
Rubellite Energy Inc.	Warrants	Ward, Howard	7	2021-10-04	54	2	0	-4,125
Rubellite Energy Inc.	Warrants	Ward, Howard	7	2021-10-04	54	2	0	-4,491
Rubellite Energy Inc.	Warrants	Ward, Howard	7	2021-10-04	54	2	0	-2,324
Rubellite Energy Inc.	Warrants	Ward, Howard	7	2021-10-04	54	2	0	-839
Rubellite Energy Inc.	Warrants	Ward, Howard	7	2021-10-04	54	2	0	-260
Rubicon Organics Inc.	Common Shares	Lassonde, Pierre	3	2021-10-01	10	2.366	4,218,113	37,200
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2021-10-01	51		25,000	25,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2021-10-01	10	4.45	5,000	-20,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2021-10-01	10	4.6	2,800	-2,200
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2021-10-01	10	4.601	1,100	-1,700
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2021-10-01	10	4.61	300	-800
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2021-10-01	10	4.69	0	-300
Rupert Resources Ltd.	Options	Seabrook, Charlotte Louise	7	2021-10-01	51		1,095,000	-25,000
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Austin, Linh	4	2021-09-30	56		1,065	672
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Clark, John	4	2021-09-30	56		63,137	672
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Dinning, James Francis	4	2021-09-30	56		61,962	948
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Hedges, Brian Robie	4	2021-09-30	56		28,831	1,439
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Johnston, Cynthia	4	2021-09-30	56		1,065	672
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Laberge, Alice D.	4	2021-09-30	56		47,717	672
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	O'Reilly, William Michael	4	2021-09-30	56		49,738	672
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Paiva, Roger	4	2021-09-30	56		3,152	673
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Thabet, Annie	4	2021-09-30	56		26,500	1,008
Russel Metals Inc.	Rights Deferred Share Units (cash settled)	Tulloch, John Russell	4	2021-09-30	56		32,905	672
Sabina Gold & Silver Corp.	Common Shares	McLeod, Donald Bruce	4	2021-10-01	11	1.87	2,085,436	13,369
Sabina Gold & Silver Corp.	Common Shares	Segsworth, Walter Thomas	4	2021-10-01	11	1.87	521,765	13,369
Sabina Gold & Silver Corp.	Common Shares	Tudela, Anna Maria	4	2021-10-01	10	1.87	33,400	13,400
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-14	38	6.5571	2,100	2,100
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-20	38	6.2	2,200	100
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-21	38	6.22	2,500	300

**Insider Reporting**

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Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-23	38	6.45	4,600	2,100
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-27	38	6.35	5,600	1,000
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-28	38	6.2976	7,700	2,100
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-29	38	6.4514	9,800	2,100
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-30	38	6.49	11,800	2,000
Sagikor Financial Company Ltd. (formerly Alignvest Acquisition II Corporation)	Common Shares	Sagikor Financial Company Ltd.	1	2021-09-30	38		9,300	-2,500
Sailfish Royalty Corp.	Common Shares	Gonzalez, Cesar	4, 5	2021-10-07	10	1.38	590,221	750
Salona Global Medical Device Corporation	Rights to Exchangeable Shares Simbex Parent Acquisition I Corp.	Chu, Jeffrey Jung-Fei	7	2021-10-01	00		1,285,920	
Salona Global Medical Device Corporation	Rights to Exchangeable Shares Simbex Parent Acquisition I Corp.	Greenwald, Richard Mark	7	2021-10-01	00		4,651,668	
SANDSTORM GOLD LTD.	Common Shares	SANDSTORM GOLD LTD.	1	2021-09-30	38	7.899	2,278,430	2,278,430
SANDSTORM GOLD LTD.	Common Shares	SANDSTORM GOLD LTD.	1	2021-09-30	38		80,842	-2,197,588
SANDSTORM GOLD LTD.	Common Shares	SANDSTORM GOLD LTD.	1	2021-10-05	38		0	-80,842
Sangoma Technologies Corporation	Common Shares	Brett, Allan	4	2021-09-30	51	0.3	125,000	9,368
Sangoma Technologies Corporation	Options	Brett, Allan	4	2021-09-30	51	0.3	50,000	-9,368
Sangoma Technologies Corporation	Options	Brett, Allan	4	2021-10-01	50	3.39	90,000	40,000
Sangoma Technologies Corporation	Options	GUARINO, ALFONSO	4	2021-09-30	50	3.39	90,000	40,000
Sangoma Technologies Corporation	Options	Lederman, Marc	4	2021-03-31	00			
Sangoma Technologies Corporation	Options	Lederman, Marc	4	2021-09-30	50	3.39	40,000	40,000
Sangoma Technologies Corporation	Options	Moore, David Sidney	5	2021-09-30	50	3.39	1,745,000	370,000
Sangoma Technologies Corporation	Options	Moore, David Sidney	5	2021-10-05	52	4.9	1,707,500	-37,500
Sangoma Technologies Corporation	Options	Wignall, William	5	2021-09-30	50	3.39	4,270,000	1,470,000
Sangoma Technologies Corporation	Options	Wignall, William	5	2021-10-06	52	4.9	4,245,000	-25,000
Sangoma Technologies Corporation	Options	Worthington, Norman A.	3, 4	2021-03-31	00			
Sangoma Technologies Corporation	Options	Worthington, Norman A.	3, 4	2021-09-30	50	3.39	40,000	40,000
ScoZinc Mining Ltd.	Common Shares	Chapman, Debra Joan	6	2021-10-05	00			
ScoZinc Mining Ltd.	Common Shares	Fancamp Exploration Ltd.	3	2021-10-05	00			
ScoZinc Mining Ltd.	Common Shares	Fancamp Exploration Ltd.	3	2021-10-05	00		2,348,485	

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Seabridge Gold Inc.	Common Shares	Fronk, Rudi P.	4, 1	2021-10-04	51	10.45	1,295,000	225,000
Seabridge Gold Inc.	Options	Fronk, Rudi P.	4, 1	2021-10-04	51	10.45	250,000	-225,000
Seabridge Gold Inc.	Common Shares	Hoel, Ryan Christopher	5	2021-09-01	00			
Seabridge Gold Inc.	Common Shares	Hoel, Ryan Christopher	5	2021-10-05	10	15.46	1,271	1,271
Seabridge Gold Inc.	Rights Restricted Share Units	Meintjes, Tracey	5	2021-10-01	00			
Seabridge Gold Inc.	Rights Restricted Share Units	Meintjes, Tracey	5	2021-10-01	56		10,000	10,000
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-09-30	54	0.1	4,073,450	250,000
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-09-30	97		4,775,575	702,125
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-09-30	54	0.1	360,600	200,000
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-09-30	97		940,725	580,125
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-09-30	97		0	-580,125
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-09-30	97		0	-200,000
Search Minerals Inc.	Common Shares	Andrews, Gregory Paul	4, 5	2021-09-30	97		0	-502,125
Search Minerals Inc.	Warrants	Andrews, Gregory Paul	4, 5	2021-09-30	54	0.1	0	-200,000
Search Minerals Inc.	Warrants	Andrews, Gregory Paul	4, 5	2021-09-30	54	0.1	0	-100,000
Search Minerals Inc.	Warrants	Andrews, Gregory Paul	4, 5	2021-09-30	54	0.1	0	-150,000
Secure Energy Services Inc.	Common Shares	Amirault, Rene	3, 4, 5	2021-10-05	10	5.25	6,600	6,600
Secure Energy Services Inc.	Notes Senior Unsecured 7.25% Notes Due Dec 30, 2026	Amirault, Rene	3, 4, 5	2010-03-24	00			
Secure Energy Services Inc.	Notes Senior Unsecured 7.25% Notes Due Dec 30, 2026	Amirault, Rene	3, 4, 5	2021-10-04	11		\$300,000	\$300,000
Secure Energy Services Inc.	Units Restricted Share Units	Amirault, Rene	3, 4, 5	2021-10-01	56	4.63	82,603	29,698
Secure Energy Services Inc.	Units Restricted Share Units	Gransch, Allen Peter	5	2021-10-01	56	4.63	70,724	22,138
Secure Energy Services Inc.	Units Restricted Share Units	Magus, Chad William	5	2021-10-01	56	4.63	43,454	17,009
ShaMaran Petroleum Corp.	Common Shares	Nemesia S.a.r.l.	3	2021-10-05	11		138,087,408	2,280,000
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2021-10-07	51	62.15		-570
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2021-10-07	51	62.15	95,042	-570
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2021-10-07	51	62.15	601	570
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2021-10-07	30	1365.2	31	-570
Shopify Inc.	Options	Lutke, Tobias Albin	4, 5	2021-10-04	51	180.38	140,790	-3,210
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-10-04	51	180.38	3,210	3,210
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-10-04	30	1320.4	0	-3,210
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2021-10-04	30	1305.8	49,000	-1,750
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Chiesa, Dino	4, 5	2021-09-30	56		226,446	3,493

**Insider Reporting**

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Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Graham, Janet	4	2021-09-30	56		62,935	1,022
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Johnston, Brian	4	2021-09-30	56		16,852	1,832
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Jourdain Coleman, Paula	4	2021-09-30	56		33,725	895
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	MacDonald, Jack C.	4	2021-09-30	56		57,225	1,968
Sienna Senior Living Inc. (formerly Leisureworld Senior Care Corporation)	Deferred Share Units	Sender, Stephen	4	2021-09-30	56		20,872	937
Silk Road Energy Inc.	Common Shares	Craig, Paul Lawrence	4	2021-10-07	36		1,700,000	1,500,000
Silk Road Energy Inc.	Preferred Shares Class A	Craig, Paul Lawrence	4	2021-10-07	36		0	-1,500,000
SILVERCORP METALS INC.	Common Shares without par value	Katusa, Marina	4	2021-10-06	57		85,467	3,833
SILVERCORP METALS INC.	Rights Restricted Share Units	Katusa, Marina	4	2021-10-06	57		32,533	-3,833
SILVERCORP METALS INC.	Common Shares without par value	Kim, Yong-Jae	5	2021-10-05	57		32,460	5,000
SILVERCORP METALS INC.	Rights Restricted Share Units	Kim, Yong-Jae	5	2021-10-05	57		46,665	-5,000
SILVERCORP METALS INC.	Common Shares without par value	Kong, David TokPay	4	2021-10-05	57	4.75	185,500	3,833
SILVERCORP METALS INC.	Common Shares without par value	Kong, David TokPay	4	2021-10-06	10	4.81	183,500	-2,000
SILVERCORP METALS INC.	Rights Restricted Share Units	Kong, David TokPay	4	2021-10-05	57	4.75	32,500	-3,833
SILVERCORP METALS INC.	Common Shares without par value	Liu, Derek Zhihua	5	2021-10-05	57		100,001	11,667
SILVERCORP METALS INC.	Common Shares without par value	Liu, Derek Zhihua	5	2021-10-08	10	4.86	90,001	-10,000
SILVERCORP METALS INC.	Rights Restricted Share Units	Liu, Derek Zhihua	5	2021-10-05	57		112,499	-11,667
SILVERCORP METALS INC.	Common Shares without par value	Liu, Yikang	4	2021-10-08	57		91,333	3,833
SILVERCORP METALS INC.	Rights Restricted Share Units	Liu, Yikang	4	2021-10-08	57		32,500	-3,833
SILVERCORP METALS INC.	Common Shares without par value	Simpson, Stephen Paul	4	2021-10-07	57		1,087,451	3,833
SILVERCORP METALS INC.	Rights Restricted Share Units	Simpson, Stephen Paul	4	2021-10-07	57		32,533	-3,833
SilverCrest Metals Inc.	Common Shares	Beaudoin, Pierre	5	2021-10-04	90		0	-10,000
SilverCrest Metals Inc.	Common Shares	Beaudoin, Pierre	5	2021-10-04	90		0	-10,000
Sirona Biochem Corp.	Common Shares	Verrico, Howard Jarman	4, 5	2021-10-05	10		8,461,251	10,000
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2021-10-04	10	0.0975	2,647,000	2,000
Skeena Resources Limited	Common Shares	Reichert, Randy	4	2021-09-30	00		1,000	
Skeena Resources Limited	Options	Reichert, Randy	4	2021-09-30	00			
Skeena Resources Limited	Options	Reichert, Randy	4	2021-10-04	50	12.52	16,400	16,400
Skeena Resources Limited	Rights - Deferred Share Units	Reichert, Randy	4	2021-09-30	00			
Skeena Resources Limited	Rights - Deferred Share Units	Reichert, Randy	4	2021-10-04	56		4,000	4,000
Skeena Resources Limited	Rights - Deferred Share Units	Reichert, Randy	4	2021-10-04	56		8,000	4,000
Skyharbour Resources Ltd.	Common Shares	Trimble, Jordan	4	2021-10-06	10	0.58	1,586,750	3,000
Skyharbour Resources Ltd.	Common Shares	Trimble, Jordan	4	2021-10-07	10	0.58	1,589,250	2,500

**Insider Reporting**

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SLANG Worldwide Inc.	Common Shares	Driessen, Christopher Lee	4, 5	2021-10-06	57	0.2031	4,537,392	177,752
SLANG Worldwide Inc.	Rights Restricted Share Units	Driessen, Christopher Lee	4, 5	2021-10-06	57		2,700,000	-250,000
SLANG Worldwide Inc.	Common Shares	Moynan, Johnathan	4	2021-10-06	57	0.2031	2,000,814	177,752
SLANG Worldwide Inc.	Rights Restricted Share Units	Moynan, Johnathan	4	2021-10-06	57		2,411,679	-250,000
SLANG Worldwide Inc.	Common Shares	Rutherford, Mikel Patrick Alexander	5	2021-10-06	57	0.2031	1,167,733	116,175
SLANG Worldwide Inc.	Rights Restricted Share Units	Rutherford, Mikel Patrick Alexander	5	2021-10-06	57		2,125,000	-250,000
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Baughman, Gary Curtis	4	2021-09-30	56	36.22	6,250	1,108
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Bell, Mary-Ann	4	2021-09-30	56	36.22	6,250	1,108
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Clark, Christie James Beckett	4	2021-09-30	56	36.22	7,771	1,172
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Courville, Isabelle	4	2021-09-30	56	36.22	24,776	1,879
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Newman, Steven Leon	4	2021-09-30	56	36.22	36,981	2,087
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Pedersen, Mike	4	2021-09-30	56	36.22	13,726	1,935
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Smati, Zin Edine	4	2021-09-30	56	36.22	22,396	1,118
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Warmbold, Benita Marie	4	2021-09-30	56	36.22	17,968	1,115
SNC-Lavalin Group Inc.	UnitOs d'actions diffOrOes (administrateurs)	Young, William	4	2021-09-30	56	36.22	13,810	3,177
Softchoice Corporation	Deferred Share Units	Cappellanti-Wolf, Amy Louise	4	2021-09-30	56		549	378
Softchoice Corporation	Deferred Share Units	Gibbons, Anthony Francis	4	2021-09-30	56		549	378
Softchoice Corporation	Deferred Share Units	MacDonald, David	4	2021-09-30	56		549	378
Softchoice Corporation	Deferred Share Units	Pentland, Lawrence	4	2021-09-30	56		549	378
Sona Nanotech Inc.	Options	gross, michael	4	2021-09-28	50	0.3	550,000	300,000
SOPerior Fertilizer Corp.	Common Shares	Squires, Andrew	5	2017-06-19	00			
SOPerior Fertilizer Corp.	Common Shares	Squires, Andrew	5	2021-09-30	11	0.025	320,000	320,000
Source Energy Services Ltd.	Class B Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Class B Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Class B Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Class B Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Common Shares	Belford, Jeff	4	2017-04-13	00			
Source Energy Services Ltd.	Deferred Share Units	Hanlon, Alan Stewart	4	2021-10-01	56		45,570	7,025
Source Energy Services Ltd.	Deferred Share Units	Sharpe, Steven Blair	4	2021-10-01	56		26,598	5,532
SouthGobi Resources Ltd.	Common Shares	He, Yingbin Ian	4	2021-10-01	10	0.71	27,000	-30,000
Spanish Mountain Gold Ltd.	Common Shares	Corman, Francis Dale	4	2021-09-30	51	0.16	215,000	200,000
Spanish Mountain Gold Ltd.	Options	Corman, Francis Dale	4	2021-09-30	51	0.16	900,000	-200,000
Spin Master Corp.	Deferred Share Units	Clark, William Edmund	4	2021-05-06	00			
Spin Master Corp.	Deferred Share Units	Clark, William Edmund	4	2021-09-30	56	42.23	3,395	3,395
Spin Master Corp.	Deferred Share Units	Cohen, Jeffrey	4	2021-09-30	56	42.23	14,567	585
Spin Master Corp.	Deferred Share Units	Fils-Aime, Reginald	4	2021-09-30	56	42.23	3,622	566
Spin Master Corp.	Deferred Share Units	Glass, Kevin A.	4	2021-09-30	56	42.23	6,283	1,283
Spin Master Corp.	Deferred Share Units	Howell, Dina	4	2021-09-30	56	42.23	39,115	1,245
Spin Master Corp.	Deferred Share Units	Miller, Christina	4	2021-09-30	56	42.23	7,242	1,132
Spin Master Corp.	Deferred Share Units	Tappin, Todd	4	2021-09-30	56	42.23	23,018	566
Spin Master Corp.	Deferred Share Units	Winograd, Charles	4	2021-09-30	56	42.23	43,071	1,547
SponsorsOne Inc.	Common Shares	GreenIslands Global Opportunities Fund	3	2021-09-28	10	0.02	125,720,208	-3,500,000
SponsorsOne Inc.	Common Shares	GreenIslands Global Opportunities Fund	3	2021-09-29	10	0.02	124,220,208	-1,500,000
SponsorsOne Inc.	Common Shares	GreenIslands Global Opportunities Fund	3	2021-09-30	10	0.02	120,220,208	-4,000,000
SponsorsOne Inc.	Common Shares	GreenIslands Global Opportunities Fund	3	2021-10-01	10	0.02	119,720,208	-500,000
SponsorsOne Inc.	Common Shares	Kokkinis, Sandy	5	2021-10-01	10	0.02	3,130,596	-1,119,984
Spot Coffee (Canada) Ltd.	Common Shares	AYOUB, ANTON MICHEL	4, 5	2021-10-05	10	0.04	2,714,458	5,000
Spot Coffee (Canada) Ltd.	Common Shares	Lorenzo, John Michael	4	2021-10-04	10	0.04	12,572,050	10,000
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Gosain, Ankit	5	2021-09-17	37		30,000	-120,000
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Gosain, Ankit	5	2021-10-06	10	0.26	37,000	7,000
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Gosain, Ankit	5	2021-10-06	10	0.26	45,000	8,000
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Options	Gosain, Ankit	5	2021-09-17	37		130,000	-520,000
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Warrants	Gosain, Ankit	5	2021-09-17	37		30,000	-120,000
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Pelchovitz, Saimi	3	2021-09-17	37		6,553,271	-1,638,318
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Wickham, Robert Cameron Takehiko	4, 5	2021-10-07	10	0.225	122,000	22,000
Spyder Cannabis Inc. (formerly, Anchor Capital Corporation)	Common Shares	Wickham, Robert Cameron Takehiko	4, 5	2021-10-08	10	0.24	130,000	8,000
SQI Diagnostics Inc.	Common Shares	Connor, Gerald R.	3, 4	2021-10-05	97		2,266,704	-19,898
SQI Diagnostics Inc.	Common Shares	Connor, Gerald R.	3, 4	2021-10-01	97		2,286,602	-5,300

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
SQI Diagnostics Inc.	Common Shares	Cumberland Private Wealth Management Inc.	3	2021-10-01	97		968,181	5,300
SQI Diagnostics Inc.	Common Shares	Cumberland Private Wealth Management Inc.	3	2021-10-05	97		988,079	19,898
SSC Security Services Corp.	Common Shares	Brown, David	4	2021-10-01	37		83,333	-166,667
SSC Security Services Corp.	Common Shares	Brown, David	4	2021-10-08	10	3.0962	100,033	16,700
SSC Security Services Corp.	Rights Deferred Share Units	Brown, David	4	2021-10-01	37		164,489	-328,990
SSC Security Services Corp.	Rights Deferred Share Units	Brown, David	4	2021-10-01	56	2.5437	195,153	30,664
SSC Security Services Corp.	Common Shares	Emsley, Doug	4, 6, 5	2021-10-01	37		578,952	-1,157,905
SSC Security Services Corp.	Common Shares	Emsley, Doug	4, 6, 5	2021-10-01	37		6,833	-13,667
SSC Security Services Corp.	Common Shares	Emsley, Doug	4, 6, 5	2021-10-01	37		3,868,495	-7,736,993
SSC Security Services Corp.	Common Shares	Emsley, Doug	4, 6, 5	2021-10-01	37		110,160	-220,322
SSC Security Services Corp.	Options	Emsley, Doug	4, 6, 5	2021-10-01	37		58,766	-685,834
SSC Security Services Corp.	Options	Emsley, Doug	4, 6, 5	2021-10-01	37		211,532	152,766
SSC Security Services Corp.	Options	Emsley, Doug	4, 6, 5	2021-10-01	37		248,198	36,666
SSC Security Services Corp.	Common Shares	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		249,999	-500,001
SSC Security Services Corp.	Common Shares	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		133,333	-266,667
SSC Security Services Corp.	Common Shares	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		9,793	-19,588
SSC Security Services Corp.	Common Shares	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		4,999	-10,001
SSC Security Services Corp.	Common Shares	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		798,333	-1,596,667
SSC Security Services Corp.	Common Shares	Farquhar, Bradley Douglas	4, 5	2021-10-07	47	3.2	750,000	-48,333
SSC Security Services Corp.	Common Shares	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		16,666	-33,334
SSC Security Services Corp.	Options	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		52,900	-618,300
SSC Security Services Corp.	Options	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		190,400	137,500
SSC Security Services Corp.	Options	Farquhar, Bradley Douglas	4, 5	2021-10-01	37		223,733	33,333
SSC Security Services Corp.	Common Shares	Hepworth, Lorne	4	2021-10-01	37		47,543	-5,087
SSC Security Services Corp.	Rights Deferred Share Units	Hepworth, Lorne	4	2021-10-01	37		147,002	-294,019
SSC Security Services Corp.	Rights Deferred Share Units	Hepworth, Lorne	4	2021-10-01	56	2.5437	174,521	27,519
SSC Security Services Corp.	Common Shares	Laidley, David Howard	4	2021-10-01	37		106,841	-113,685
SSC Security Services Corp.	Rights Deferred Share Units	Laidley, David Howard	4	2021-10-01	37		163,510	-327,033
SSC Security Services Corp.	Rights Deferred Share Units	Laidley, David Howard	4	2021-10-01	56	2.5437	194,174	30,664
SSC Security Services Corp.	Common Shares	Nystuen, Gordon	5	2021-10-01	37		159,110	-318,223
SSC Security Services Corp.	Common Shares	Nystuen, Gordon	5	2021-10-01	37		362,225	-724,451



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
SSC Security Services Corp.	Common Shares	Nystuen, Gordon	5	2021-10-01	37		62,233	-124,467
SSC Security Services Corp.	Options	Nystuen, Gordon	5	2021-10-01	37		47,000	-550,600
SSC Security Services Corp.	Options	Nystuen, Gordon	5	2021-10-01	37		169,200	122,200
SSC Security Services Corp.	Options	Nystuen, Gordon	5	2021-10-01	37		199,200	30,000
SSC Security Services Corp.	Common Shares	Ross, Blair	5	2021-10-01	37		241,264	-482,530
SSC Security Services Corp.	Options	Ross, Blair	5	2021-10-01	37		33,333	-66,667
SSC Security Services Corp.	Common Shares	Warsaba, Patricia	5	2021-10-01	37		42,104	-84,211
SSC Security Services Corp.	Common Shares	Warsaba, Patricia	5	2021-10-01	37		9,849	-19,701
SSR Mining Inc.	Deferred Share Unit	Anglin, Mike Arthur E.	4	2021-09-30	56		186,732	585
SSR Mining Inc.	Deferred Share Unit	Anglin, Mike Arthur E.	4	2021-10-01	56		192,382	5,650
SSR Mining Inc.	Deferred Share Unit	Bates, Thomas Robert	4	2021-09-30	56		74,116	230
SSR Mining Inc.	Deferred Share Unit	Bates, Thomas Robert	4	2021-10-01	56		75,999	1,883
SSR Mining Inc.	Deferred Share Unit	Booth, Brian	4	2021-09-30	56		40,437	126
SSR Mining Inc.	Deferred Share Unit	Booth, Brian	4	2021-10-01	56		42,662	2,225
SSR Mining Inc.	Deferred Share Unit	Dowling, Edward Camp	4	2021-09-30	56		103,675	322
SSR Mining Inc.	Deferred Share Unit	Dowling, Edward Camp	4	2021-10-01	56		105,558	1,883
SSR Mining Inc.	Deferred Share Unit	Fish, Simon Adrian	4	2021-09-30	56		45,069	141
SSR Mining Inc.	Deferred Share Unit	Fish, Simon Adrian	4	2021-10-01	56		48,921	3,852
SSR Mining Inc.	Deferred Share Unit	Krusi, Alan Peter	4	2021-09-30	56		72,144	224
SSR Mining Inc.	Deferred Share Unit	Krusi, Alan Peter	4	2021-10-01	56		74,027	1,883
SSR Mining Inc.	Deferred Share Unit	Park, Beverlee Faye	4	2021-09-30	56		83,951	263
SSR Mining Inc.	Deferred Share Unit	Park, Beverlee Faye	4	2021-10-01	56		86,904	2,953
SSR Mining Inc.	Deferred Share Unit	Priestly, Kay Gravolet	4	2021-09-30	56		14,202	44
SSR Mining Inc.	Deferred Share Unit	Priestly, Kay Gravolet	4	2021-10-01	56		16,085	1,883
SSR Mining Inc.	Deferred Share Unit	Wademan, Elizabeth Anne	4	2021-09-30	56		35,703	112
SSR Mining Inc.	Deferred Share Unit	Wademan, Elizabeth Anne	4	2021-10-01	56		37,586	1,883
St. Anthony Gold Corp. (formerly Maxtech Ventures Inc.)	Common Shares	Wilson, Peter Grant	4, 5	2021-10-01	10	0.045	1,830,000	-500,000
Stelco Holdings Inc.	Deferred Share Units	Baker, Robert Montgomery	4	2021-10-01	56	37.12	9,760	1,549
Stelco Holdings Inc.	Deferred Share Units	MUELLER, MICHAEL J	4	2021-10-01	56	37.12	48,273	1,683
Stelco Holdings Inc.	Deferred Share Units	Ross, Heather	4	2021-10-01	56	37.12	32,928	1,599
Stelco Holdings Inc.	Deferred Share Units	Samarasekera, Indira Vasanti	4	2021-10-01	56	37.12	40,658	841
Stelco Holdings Inc.	Deferred Share Units	Wilson, Daryl	4	2021-10-01	56	37.12	1,662	1,346
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-01	38	7.4827	40,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-02	38	7.4801	50,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-03	38	7.4605	70,000	20,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-07	38	7.421	80,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-08	38	7.3432	90,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-09	38	7.2401	100,000	10,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-10	38	7.2542	110,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-13	38	7.2713	120,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-14	38	7.2785	130,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-15	38	7.4033	140,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-16	38	7.4882	150,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-17	38	7.3627	160,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-20	38	7.0935	170,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-21	38	7.2704	180,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-22	38	7.3347	190,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-23	38	7.3492	200,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-24	38	7.2922	210,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-27	38	7.4053	220,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-28	38	7.4566	230,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-29	38	7.3991	240,000	10,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-30	38	7.4296	252,000	12,000
Stingray Group Inc.	Subordinate Voting Shares	Stingray Group Inc.	1	2021-09-30	38		32,000	-220,000
Sun Life Financial Inc.	Deferred Share Units	Brown, Randolph	5	2021-09-29	30	64.36	42,221	358
Sun Life Financial Inc.	Units Sun Shares	Brown, Randolph	5	2021-09-29	30	64.36		358
Sun Life Financial Inc.	Units Sun Shares	Brown, Randolph	5	2021-09-29	30	64.36		358
Sun Life Financial Inc.	Units Sun Shares	Brown, Randolph	5	2021-09-29	30	64.36	94,968	805
Sun Life Financial Inc.	Deferred Share Units	Dougherty, Linda	5	2021-09-29	30	64.36	8,486	72
Sun Life Financial Inc.	Units Sun Shares	Dougherty, Linda	5	2021-09-29	30	64.36	26,762	227
Sun Life Financial Inc.	Deferred Share Units	Fishbein, Daniel	5	2021-09-29	30	64.36	16,441	139
Sun Life Financial Inc.	Units Sun Shares	Fishbein, Daniel	5	2021-09-29	30	64.36	81,376	690
Sun Life Financial Inc.	Deferred Share Units	Freyne, Colm Joseph	5	2021-09-29	30	64.36	75,410	639
Sun Life Financial Inc.	Units Sun Shares	Freyne, Colm Joseph	5	2021-09-29	30	64.36	65,976	559
Sun Life Financial Inc.	Common Shares	Goulet, Jacques Jr.	5	2021-09-29	30	66.046	7,401	61
Sun Life Financial Inc.	Deferred Share Units	Goulet, Jacques Jr.	5	2021-09-29	30	64.36	4,169	35
Sun Life Financial Inc.	Units Sun Shares	Goulet, Jacques Jr.	5	2021-09-29	30	64.36	102,473	868
Sun Life Financial Inc.	Deferred Share Units	Grepin, Leo	5	2021-09-29	30	64.36	121,338	1,028
Sun Life Financial Inc.	Units Sun Shares	Grepin, Leo	5	2021-09-29	30	64.36	51,961	440
Sun Life Financial Inc.	Common Shares	Harris, M. Marianne	4	2021-09-29	30	64.859	6,384	53
Sun Life Financial Inc.	Deferred Share Units	Kennedy, Melissa Jane	5	2021-09-29	30	64.36	13,431	114
Sun Life Financial Inc.	Units Sun Shares	Kennedy, Melissa Jane	5	2021-09-29	30	64.36	34,225	290
Sun Life Financial Inc.	Units Sun Shares	Money, Laura Ann	5	2021-09-29	30	64.36	17,191	146
Sun Life Financial Inc.	Deferred Share Units	Morrissey, Kevin	5	2021-09-29	30	64.36	3,181	27
Sun Life Financial Inc.	Units Sun Shares	Morrissey, Kevin	5	2021-09-29	30	64.36	16,606	141
Sun Life Financial Inc.	Deferred Share Units	Pagano, Helena Janina	5	2021-09-29	30	64.36	5,099	43
Sun Life Financial Inc.	Units Sun Shares	Pagano, Helena Janina	5	2021-09-29	30	64.36	21,992	186
Sun Life Financial Inc.	Deferred Share Units	Peacher, Stephen	5	2021-09-29	30	64.36	31,044	263
Sun Life Financial Inc.	Units Sun Shares	Peacher, Stephen	5	2021-09-29	30	64.36	80,354	681

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Sun Life Financial Inc.	Deferred Share Units	Singh, Manjit	5	2021-09-29	30	64.36	52,182	442
Sun Life Financial Inc.	Units Sun Shares	Singh, Manjit	5	2021-09-29	30	64.36	72,084	611
Sun Life Financial Inc.	Units Sun Shares	Strain, Kevin	4, 5	2021-09-29	30	64.36	101,510	860
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-01	30	18.586	511,100	511,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-01	30		0	-511,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-02	30	18.97	501,400	501,400
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-02	30		0	-501,400
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-03	30	18.832	507,200	507,200
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-03	30		0	-507,200
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-07	30	18.57	515,900	515,900
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-07	30		0	-515,900
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-08	30	18.452	515,100	515,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-08	30		0	-515,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-09	30	18.443	513,000	513,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-09	30		0	-513,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-10	30	18.564	511,000	511,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-10	30		0	-511,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-13	30	18.963	500,600	500,600
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-13	30		0	-500,600
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-14	30	18.786	463,100	463,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-14	30		0	-463,100
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-15	30	19.385	488,700	488,700
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-15	30		0	-488,700
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-16	30	19.591	443,000	443,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-16	30		0	-443,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-17	30	19.253	450,600	450,600
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-17	30		0	-450,600
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-20	30	18.633	463,300	463,300
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-20	30		0	-463,300
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-21	30	18.904	495,000	495,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-21	30		0	-495,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-22	30	19.848	433,400	433,400
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-22	30		0	-433,400
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-23	30	20.249	407,200	407,200
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-23	30		0	-407,200
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-24	30	20.269	135,500	135,500
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-24	30		0	-135,500
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-27	30	21.109	392,400	392,400
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-27	30		0	-392,400
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-28	30	21.015	376,300	376,300
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-28	30		0	-376,300
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-29	30	20.835	378,000	378,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-29	30		0	-378,000
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-30	30	20.719	378,500	378,500
Suncor Energy Inc.	Common Shares	Suncor Energy Inc.	1	2021-09-30	30		0	-378,500
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2019-08-15	57	1.16		-506,476
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2019-08-15	57	1.16		-237,341
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2019-08-15	57	1.16	761,989	-269,135
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2019-08-15	57	1.16		-84,666

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2021-08-18	37			-1,410,643
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2021-08-18	37			-131,160
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2021-08-18	37			-1,268,329
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2021-08-18	37			-1,580,506
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2021-08-18	37		179,070	-1,580,376
Surge Energy Inc.	Rights Restricted Share Awards	Elekes, Margaret Ann	5	2019-08-15	57	1.16	86,070	-84,666
Surge Energy Inc.	Rights Restricted Share Awards	Elekes, Margaret Ann	5	2021-08-18	37			-283,610
Surge Energy Inc.	Rights Restricted Share Awards	Elekes, Margaret Ann	5	2021-08-18	37			-94,741
Surge Energy Inc.	Rights Restricted Share Awards	Elekes, Margaret Ann	5	2021-08-18	37			-425,925
Surge Energy Inc.	Rights Restricted Share Awards	Elekes, Margaret Ann	5	2021-08-18	37		46,829	-351,220
Surge Energy Inc.	Common Shares	JOG Capital Corp.	3	2021-10-04	10	5.3104	224,118	-125,497
Surge Energy Inc.	Common Shares	O'Neil, Peter Dan	5	2021-10-06	10	5.13	19,296	1,300
Surge Energy Inc.	Common Shares	O'Neil, Peter Dan	5	2021-10-06	10	5.23	27,496	8,200
Sustainable Agriculture & Wellness Dividend Fund	Trust Units	Sustainable Agriculture & Wellness Dividend Fund	1	2021-10-01	38	9.0988	142,800	1,700
Sustainable Agriculture & Wellness Dividend Fund	Trust Units	Sustainable Agriculture & Wellness Dividend Fund	1	2021-10-04	38	8.9579	148,500	5,700
Sustainable Agriculture & Wellness Dividend Fund	Trust Units	Sustainable Agriculture & Wellness Dividend Fund	1	2021-10-05	38	9	154,100	5,600
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-10-01	38	11.418	896,000	4,900
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-10-04	38	11.248	898,000	2,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2021-10-05	38	11.275	898,600	600
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-10-01	38	10.437	794,200	5,100
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-10-04	38	10.457	797,900	3,700
Sustainable Innovation & Health Dividend Fund	Trust Units	Sustainable Innovation & Health Dividend Fund	1	2021-10-05	38	10.474	799,500	1,600
Sustainable Power & Infrastructure Split Corp.	Preferred Shares	Brompton Corp.	7	2021-10-06	10	10.5	82,200	-5,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-01	38	7.61	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-01	38	7.61	0	-2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-02	38	7.63	400	400
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-02	38	7.63	0	-400
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-03	38	7.6	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-03	38	7.6	0	-2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-07	38	7.6	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-07	38	7.6	0	-2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-08	38	7.64	1,400	1,400

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-08	38	7.64	0	-1,400
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-09	38	7.65	500	500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-09	38	7.65	0	-500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-09	38	7.74	100	100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-09	38	7.74	0	-100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-09	38	7.75	1,400	1,400
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-09	38	7.75	0	-1,400
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-10	38	7.73	1,500	1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-10	38	7.73	0	-1,500
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-13	38	7.75	1,200	1,200
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-13	38	7.75	0	-1,200
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-14	38	7.75	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-14	38	7.75	0	-2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-15	38	7.7	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-15	38	7.7	0	-2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-16	38	7.66	200	200
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-16	38	7.66	0	-200
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-16	38	7.73	100	100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-16	38	7.73	0	-100
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-16	38	7.74	1,700	1,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-16	38	7.74	0	-1,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-20	38	7.75	1,700	1,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-20	38	7.75	0	-1,700
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-21	38	7.75	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-21	38	7.75	0	-2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-22	38	7.72	800	800
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-22	38	7.72	0	-800
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-23	38	7.75	800	800
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-23	38	7.75	0	-800
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-24	38	7.75	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-24	38	7.75	0	-2,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-27	38	7.72	2,000	2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-27	38	7.72	0	-2,000
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-28	38	7.67	600	600
Symphony Floating Rate Senior Loan Fund	Units Class A	Symphony Floating Rate Senior Loan Fund	1	2021-09-28	38	7.67	0	-600
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-09-29	10	0.26	1,428,030	25,000
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-09-30	10	0.26	1,428,530	500
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-10-01	10	0.26	1,453,030	24,500
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-10-04	10	0.255	1,473,030	20,000
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-10-04	10	0.26	1,503,030	30,000
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-10-05	10	0.245	1,533,030	30,000
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-10-06	10	0.245	1,573,030	40,000
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-10-06	10	0.24	1,593,030	20,000
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2021-10-07	10	0.24	1,613,030	20,000
Tamarack Valley Energy Ltd.	Common Shares	Rooney, John	4	2021-10-06	10	3.3904	390,942	30,000
TC Energy Corporation	Common Shares	Salsman, Gary M.	7	2021-09-16	10	62.98	3,358	-1,044
Tempus Capital Inc.	Common Shares	Tanz, Russell	5	2021-09-30	10	0.19	5,988,003	4,500
Tempus Capital Inc.	Common Shares	Tanz, Russell	5	2021-09-30	10	0.2	5,992,003	4,000
Tempus Capital Inc.	Common Shares	Tanz, Russell	5	2021-09-30	10	0.205	5,993,503	1,500
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2021-10-04	10	0.65	30,330,848	50,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2021-10-05	10	0.65	30,344,348	13,500
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2021-10-06	10	0.65	30,410,348	66,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2021-10-07	10	0.655	30,431,348	21,000
THC BIOMED INTL LTD.	Warrants	Miller, John	3, 4	2021-10-02	55		8,697,199	-357,143
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Sutton, Brayden Robert	4	2021-10-04	10	0.275	12,508,833	20,000
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Sutton, Brayden Robert	4	2021-10-05	10	0.275	12,528,833	20,000
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Sutton, Brayden Robert	4	2021-10-06	10	0.26	12,548,833	20,000
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Sutton, Brayden Robert	4	2021-10-07	10	0.25	12,558,833	10,000
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Sutton, Brayden Robert	4	2021-10-08	10	0.24	12,578,833	20,000
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Taylor, Thomas	4	2021-09-19	11			2,310
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Taylor, Thomas	4	2021-09-19	11		244,999	-2,310
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Taylor, Thomas	4	2020-03-18	00			
The BC Bud Corporation (formerly Entheos Capital Corp.)	Common Shares	Taylor, Thomas	4	2021-09-29	16		10,500,000	10,500,000
The BC Bud Corporation (formerly Entheos Capital Corp.)	Restricted Share Units	Taylor, Thomas	4	2020-03-18	00			
The BC Bud Corporation (formerly Entheos Capital Corp.)	Restricted Share Units	Taylor, Thomas	4	2020-03-18	00			

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
The BC Bud Corporation (formerly Entheos Capital Corp.)	Warrants	Taylor, Thomas	4	2021-09-29	16	0.5		60,000
The BC Bud Corporation (formerly Entheos Capital Corp.)	Warrants	Taylor, Thomas	4	2021-09-29	16	0.5	120,000	120,000
The Flowr Corporation (formerly The Needle Capital Corp.)	Common Shares	Greif, Kenneth	6	2019-04-25	00			
The Flowr Corporation (formerly The Needle Capital Corp.)	Common Shares	Greif, Kenneth	6	2019-04-25	00		1,244,526	
The Flowr Corporation (formerly The Needle Capital Corp.)	Common Shares	Greif, Kenneth	6	2019-04-25	00			
The Flowr Corporation (formerly The Needle Capital Corp.)	Common Shares	Greif, Kenneth	6	2019-04-25	00			
The Flowr Corporation (formerly The Needle Capital Corp.)	Common Shares	Greif, Kenneth	6	2019-04-25	00		17,185,355	
The Flowr Corporation (formerly The Needle Capital Corp.)	Rights The Flowr Canada Holdings ULC - Pref A Shares	Greif, Kenneth	6	2019-04-25	00			
The Flowr Corporation (formerly The Needle Capital Corp.)	Rights The Flowr Canada Holdings ULC - Pref A Shares	Greif, Kenneth	6	2019-04-25	00		21,880,382	
The Flowr Corporation (formerly The Needle Capital Corp.)	Warrants 2020 Warrants	Greif, Kenneth	6	2020-04-27	16			6,513,122
The Flowr Corporation (formerly The Needle Capital Corp.)	Warrants 2020 Warrants	Greif, Kenneth	6	2020-04-27	16			6,878,760
The Flowr Corporation (formerly The Needle Capital Corp.)	Warrants 2020 Warrants	Greif, Kenneth	6	2020-04-27	16		9,470,446	9,470,446
The Flowr Corporation (formerly The Needle Capital Corp.)	Options	Husson, Matthew Scott	5	2021-09-20	00			
The Flowr Corporation (formerly The Needle Capital Corp.)	Options	Husson, Matthew Scott	5	2021-10-01	50	0.1	1,000,000	1,000,000
The Flowr Corporation (formerly The Needle Capital Corp.)	Options	Klein, Steven	4	2021-02-08	52		0	-1,200,000
The Flowr Corporation (formerly The Needle Capital Corp.)	Warrants 2020 Warrants	Klein, Steven	4	2020-04-27	16			18,546,792
The Flowr Corporation (formerly The Needle Capital Corp.)	Warrants 2020 Warrants	Klein, Steven	4	2020-04-27	16		19,581,192	19,581,192
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-01	38	35.89	6,209	4,758
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-02	38	35.728	10,987	4,778
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-03	38	35.337	15,818	4,831
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-03	38		1,598	-14,220
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-07	38	34.909	6,488	4,890
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-08	38	34.846	11,382	4,894
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-09	38	34.471	16,338	4,956

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-10	38	35.428	21,157	4,819
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-10	38		1,764	-19,393
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-13	38	34.902	6,657	4,893
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-15	38	34.523	10,277	3,620
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-16	38	34.784	13,870	3,593
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-17	38	34.667	17,475	3,605
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-17	38		-813	-18,288
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-20	38	34.57	2,802	3,615
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-21	38	34.749	6,399	3,597
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-22	38	34.641	10,007	3,608
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-23	38	34.477	13,632	3,625
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-24	38	34.677	17,236	3,604
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-24	38		-782	-18,018
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-27	38	34.428	2,849	3,631
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-28	38	33.918	6,534	3,685
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-29	38	34.082	10,202	3,668
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-29	38		-658	-10,860
The North West Company Inc.	Variable Voting and Common Voting Shares	The North West Company Inc.	1	2021-09-30	38	33.84	3,036	3,694
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Poleg, Tamir	4, 5	2021-10-05	10	2.3	9,416,566	-4,000
The Real Brokerage Inc. (formerly ADL Ventures Inc.)	Common Shares	Poleg, Tamir	4, 5	2021-10-05	10	2.35	9,412,566	-4,000
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-10-08	51	36.63	187,030	1,250
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-10-08	47	85.42	185,780	-1,250
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-10-08	51	36.63	189,530	3,750
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Chauvin, Mark Russell	7	2021-10-08	10	86.18	185,780	-3,750
The Toronto-Dominion Bank	Options	Chauvin, Mark Russell	7	2021-10-08	51	36.63	96,774	-1,250
The Toronto-Dominion Bank	Options	Chauvin, Mark Russell	7	2021-10-08	51	36.63	93,024	-3,750
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Hu, Xihao	7	2021-03-29	00			
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Hu, Xihao	7	2021-10-05	51	36.63	8,688	8,688
The Toronto-Dominion Bank	Options	Hu, Xihao	7	2021-10-05	51	36.63	67,928	-8,688
The Toronto-Dominion Bank	Common Shares CUSIP 891160 50 9	Mundy, Sandra	5	2009-10-14	51	36.2		4,200



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
The Toronto-Dominion Bank	Common Shares CUSIP 891 160 50 9	Mundy, Sandra	5	2009-10-14	51	36.2	4,200	4,200
The Westaim Corporation	Deferred Share Units	Cole, Stephen	4	2021-09-30	46	2.7	368,111	17,523
The Westaim Corporation	Deferred Share Units	Mazzocco, Lisa Anne	4	2021-09-30	46	2.7	39,503	13,356
The Westaim Corporation	Deferred Share Units	Walter, Bruce V.	4	2021-09-30	46	2.7	224,002	12,893
Think Research Corporation (formerly AIM4 Ventures Inc.)	Restricted Share Units	DiCarlo, Renzo	5	2021-09-10	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Restricted Share Units	DiCarlo, Renzo	5	2021-09-10	00			
Think Research Corporation (formerly AIM4 Ventures Inc.)	Restricted Share Units	DiCarlo, Renzo	5	2021-10-01	56		160,000	160,000
Think Research Corporation (formerly AIM4 Ventures Inc.)	Common Shares	Mukhi, Saurabh	5	2021-10-04	56		521,102	5,902
Think Research Corporation (formerly AIM4 Ventures Inc.)	Restricted Share Units	Mukhi, Saurabh	5	2021-10-04	57		60,000	-15,000
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-01	38	149.56	334,444	127,300
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-01	38	118.73	425,899	91,455
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-02	38	150.68	553,240	127,341
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-02	38	119.8	630,630	77,390
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-03	38	148.94	746,930	116,300
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-03	38	118.97	802,549	55,619
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-07	38	149.2	901,149	98,600
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-07	38	118.2	953,642	52,493
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-08	38	151	1,068,542	114,900
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-08	38	119.07	1,143,319	74,777
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-08	38		425,899	-717,420
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-09	38	150.07	510,199	84,300
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-09	38	118.65	572,485	62,286
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-10	38	150.25	661,285	88,800
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-10	38	118.94	722,030	60,745
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-13	38	151.21	789,630	67,600
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-13	38	119.41	828,602	38,972
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-14	38	151.08	893,902	65,300
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-14	38	119.2	948,094	54,192
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-15	38	150.02	1,037,394	89,300
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-15	38	118.71	1,112,809	75,415

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-15	38		425,899	-686,910
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-16	38	149.96	489,299	63,400
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-16	38	118.27	534,976	45,677
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-17	38	150.02	616,976	82,000
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-17	38	117.76	691,671	74,695
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-21	38	149.41	782,671	91,000
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-21	38	116.6	840,396	57,725
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-22	38	149.15	924,196	83,800
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-22	38	116.94	984,154	59,958
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-22	38		425,899	-558,255
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-24	38	145.07	518,899	93,000
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-24	38	114.44	607,169	88,270
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-27	38	142.68	728,469	121,300
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-27	38	113.09	789,420	60,951
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-27	38		636,347	-153,073
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-28	38	141.93	726,147	89,800
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-28	38	111.9	789,420	63,273
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-30	38	141.03	864,720	75,300
Thomson Reuters Corporation	Common Shares	Thomson Reuters Corporation	1	2021-09-30	38	111.13	965,553	100,833
Three Valley Copper Corp. (formerly, SRHI Inc.)	Rights Deferred Share Units (Cash Settlement)	Lyons, Terrence	4	2017-02-09	00			
Three Valley Copper Corp. (formerly, SRHI Inc.)	Rights Deferred Share Units (Cash Settlement)	Lyons, Terrence	4	2021-10-08	56	0.4005	46,815	46,815
ThreeD Capital Inc.	Common Shares	ThreeD Capital Inc.	1	2021-10-06	38	1.288	0	-376,400
TIMIA Capital Corp.	Common Shares	Demers, David	4	2021-03-31	54	0.2	1,275,000	125,000
TIMIA Capital Corp.	Debentures 8% Debentures	Demers, David	4	2021-10-05	38		\$0	-\$500
TIMIA Capital Corp.	Warrants	Demers, David	4	2021-03-31	54		0	-125,000
TIMIA Capital Corp.	Common Shares	Thomson, Kenneth Walter	3, 4, 6, 7, 5	2021-09-20	00		5,000,000	
TIMIA Capital Corp.	Options	Thomson, Kenneth Walter	3, 4, 6, 7, 5	2021-09-20	00		100,000	
TIMIA Capital Corp.	Preferred Shares 8% Series A	Thomson, Kenneth Walter	3, 4, 6, 7, 5	2021-09-20	00		2,000,000	
TIMIA Capital Corp.	Preferred Shares 8% Series A	Thomson, Kenneth Walter	3, 4, 6, 7, 5	2021-09-20	00		1,500,000	
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-04	10	0.5	27,955,112	75,500
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-04	10	0.59	27,979,612	24,500
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-05	10	0.62	28,079,612	100,000
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-05	10	0.61	28,179,612	100,000
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-07	10	0.67	28,279,112	99,500
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-07	10	0.65	28,312,612	33,500

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-08	10	0.71	28,412,612	100,000
Titan Mining Corporation	Common Shares	Warke, Richard William	4	2021-10-08	10	0.7	28,421,612	9,000
Top Strike Resources Corp	Common Shares	Sharun, Jonathan Robert	5	2021-10-07	10	0.03	1,292,400	33,300
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Blake, Peter James	4	2021-07-01	56			13
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Blake, Peter James	4	2021-07-05	56		4,265	13
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Blake, Peter James	4	2021-09-30	56		4,700	282
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Blake, Peter James	4	2021-10-04	56		4,715	15
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cherniavsky, Benjamin David	4	2021-07-01	56			1
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cherniavsky, Benjamin David	4	2021-07-05	56		510	1
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cherniavsky, Benjamin David	4	2021-09-30	56		868	205
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cherniavsky, Benjamin David	4	2021-10-04	56		870	2
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	2021-07-01	56			76
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	2021-07-05	56		23,338	76
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	2021-09-30	56		23,623	132
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Chisholm, Jeffrey Scott	4	2021-10-04	56		23,700	77
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cochrane, Jennifer	5	2021-07-01	56			25
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cochrane, Jennifer	5	2021-07-05	56		7,758	25
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cochrane, Jennifer	5	2021-10-04	56			26
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cochrane, Jennifer	5	2021-10-04	56			26
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cochrane, Jennifer	5	2021-10-04	56		7,784	26
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	2021-07-01	56			91
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	2021-07-05	56		28,111	91
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	2021-09-30	56		28,509	245
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cranston, Cathryn Elizabeth	4	2021-10-04	56		28,602	93
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cuddy, Mike	5	2021-07-01	56			39
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cuddy, Mike	5	2021-07-05	56		11,830	39
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Cuddy, Mike	5	2021-10-04	56		11,869	39
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	2021-07-01	56			53
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	2021-07-05	56		16,563	53
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	2021-09-30	56		16,926	210
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gill, James Wendell	4	2021-10-04	56		16,981	55
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gregg, Miles Sean Ryan	5	2021-07-01	56			5

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gregg, Miles Sean Ryan	5	2021-07-05	56		1,624	5
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Gregg, Miles Sean Ryan	5	2021-10-04	56		1,629	5
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hill, Wayne S.	4	2021-07-01	56			49
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hill, Wayne S.	4	2021-07-05	56		15,272	49
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hill, Wayne S.	4	2021-09-30	56		15,660	235
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hill, Wayne S.	4	2021-10-04	56		15,711	51
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hodgson, Sharon	4	2021-07-01	56			12
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hodgson, Sharon	4	2021-07-05	56		3,889	12
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hodgson, Sharon	4	2021-09-30	56		4,271	229
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Hodgson, Sharon	4	2021-10-04	56		4,284	13
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Korbak, Lynn Margaret	5	2021-07-01	56			8
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Korbak, Lynn Margaret	5	2021-07-05	56		2,537	8
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Korbak, Lynn Margaret	5	2021-10-04	56		2,545	8
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Malinauskas, David Allan	7	2021-07-01	56			31
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Malinauskas, David Allan	7	2021-07-05	56		9,563	31
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Malinauskas, David Allan	7	2021-10-04	56		9,594	31
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	McMillan, Michael Stanley Howie	5	2021-07-01	56			8
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	McMillan, Michael Stanley Howie	5	2021-07-05	56		2,526	8
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	McMillan, Michael Stanley Howie	5	2021-10-04	56		2,534	8
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Medhurst, Scott	4, 5	2021-07-01	56			51
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Medhurst, Scott	4, 5	2021-07-05	56		15,728	51
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Medhurst, Scott	4, 5	2021-10-04	56		15,780	52
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Ogilvie, Robert M.	4	2021-07-01	56			196
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Ogilvie, Robert M.	4	2021-07-05	56		60,514	196
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	2021-03-31	99		24,555	-142
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	2021-06-30	99		24,778	-142
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	2021-07-01	56			81
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	2021-07-05	56		24,859	81
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Rethy, Katherine Anne	4	2021-10-04	56		25,094	82
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2021-07-01	56			18
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2021-07-05	56		5,604	18

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2021-08-31	56			347
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2021-08-31	56		5,985	381
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2021-09-30	56		6,366	381
Toromont Industries Ltd.	Rights Deferred Share Units (cash settled)	Roy, Richard G	4	2021-10-04	56		6,386	20
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-15	38	104.86	27,500	27,500
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-16	38	106.14	63,400	35,900
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-17	38	105.81	99,600	36,200
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-20	38	103.23	126,100	26,500
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-21	38	103.14	143,500	17,400
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-22	38	104.19	164,000	20,500
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-23	38	106.37	190,900	26,900
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-24	38	107.2	213,700	22,800
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-27	38	105.74	230,000	16,300
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-28	38	106.94	259,500	29,500
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-29	38	107.25	278,000	18,500
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-30	38	106.32	297,400	19,400
Toromont Industries Ltd.	Common Shares	Toromont Industries Ltd.	1	2021-09-30	38		67,400	-230,000
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2021-10-08	10	4.94	520,000	5,000
Tourmaline Oil Corp.	Common Shares	Rose, Mike	5	2021-10-06	10	44.091	8,846,058	10,000
TPCO Holding Corp.	Common Shares	Allan, Jr., Steven James	7, 5	2021-10-01	57		168,922	5,524
TPCO Holding Corp.	Common Shares	Allan, Jr., Steven James	7, 5	2021-07-15	90			10,565
TPCO Holding Corp.	Common Shares	Allan, Jr., Steven James	7, 5	2021-07-15	90		10,625	10,625
TPCO Holding Corp.	Options	Allan, Jr., Steven James	7, 5	2021-10-06	38		108,127	-2
TPCO Holding Corp.	Restricted Stock Units	Allan, Jr., Steven James	7, 5	2021-10-01	57		253,125	-9,375
TPCO Holding Corp.	Common Shares	Auerbach, Michael B,	4	2021-01-15	11		8,711	8,711
TPCO Holding Corp.	Common Shares	Auerbach, Michael B,	4	2021-01-18	11			6,553,258
TPCO Holding Corp.	Common Shares	Auerbach, Michael B,	4	2019-07-10	00			
TPCO Holding Corp.	Common Shares	Auerbach, Michael B,	4	2021-01-18	11		6,553,258	6,553,258
TPCO Holding Corp.	Common Shares	Auerbach, Michael B,	4	2021-08-19	11		6,604,434	51,176
TPCO Holding Corp.	Common Shares	Batesole, Michael Brian	5	2021-10-01	57		46,804	4,089
TPCO Holding Corp.	Restricted Stock Units	Batesole, Michael Brian	5	2021-10-01	57		325,000	-6,250
TPCO Holding Corp.	Common Shares	Brown, Colin	5	2021-10-01	57		41,534	3,195
TPCO Holding Corp.	Restricted Stock Units	Brown, Colin	5	2021-10-01	57		185,625	-6,875
TPCO Holding Corp.	Common Shares	Figueiredo, John	7	2021-10-01	57		1,181,082	973
TPCO Holding Corp.	Restricted Stock Units	Figueiredo, John	7	2021-10-01	57		44,550	-1,650
TPCO Holding Corp.	Common Shares	O'Malley, Dennis	7, 5	2021-10-01	57		409,532	4,511
TPCO Holding Corp.	Options	O'Malley, Dennis	7, 5	2021-10-06	38		108,127	-2
TPCO Holding Corp.	Restricted Stock Units	O'Malley, Dennis	7, 5	2021-10-01	57		206,719	-7,656
TransAlta Corporation	DSU (Deferred Share Units)	Ambrose, Ronalee Hope	4	2021-10-01	56	13.31	50,108	163
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-09-30	90	0.98	21,668,936	1,673
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-10-05	90	0.98	21,847,463	178,527
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-09-30	90	0.98	13,750,809	-1,673
TransAlta Corporation	Common Shares	Brookfield Asset Management Inc.	3	2021-10-05	90	0.98	13,572,282	-178,527
TransAlta Corporation	PSU (Performance Share Units)	Cameron, Michelle Dawn	5	2021-10-01	56	13.31	6,484	10

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	PSU (Performance Share Units)	Cameron, Michelle Dawn	5	2021-10-01	56	13.31	6,490	6
TransAlta Corporation	PSU (Performance Share Units)	Cameron, Michelle Dawn	5	2021-10-01	56	13.31	6,496	6
TransAlta Corporation	RSU (Restricted Share Units)	Cameron, Michelle Dawn	5	2021-10-01	56	13.31	3,242	5
TransAlta Corporation	RSU (Restricted Share Units)	Cameron, Michelle Dawn	5	2021-10-01	56	13.31	3,245	3
TransAlta Corporation	RSU (Restricted Share Units)	Cameron, Michelle Dawn	5	2021-10-01	56	13.31	3,248	3
TransAlta Corporation	DSU (Deferred Share Units)	Dielwart, John Patrick	4	2021-10-01	56	13.31	124,562	420
TransAlta Corporation	PSU (Performance Share Units)	Fedoretz, Jane Nyla	5	2021-10-01	56	13.31	121,683	174
TransAlta Corporation	PSU (Performance Share Units)	Fedoretz, Jane Nyla	5	2021-10-01	56	13.31	121,786	103
TransAlta Corporation	PSU (Performance Share Units)	Fedoretz, Jane Nyla	5	2021-10-01	56	13.31	121,920	134
TransAlta Corporation	RSU (Restricted Share Units)	Fedoretz, Jane Nyla	5	2021-10-01	56	13.31	62,583	79
TransAlta Corporation	RSU (Restricted Share Units)	Fedoretz, Jane Nyla	5	2021-10-01	56	13.31	62,608	25
TransAlta Corporation	RSU (Restricted Share Units)	Fedoretz, Jane Nyla	5	2021-10-01	56	13.31	62,655	47
TransAlta Corporation	RSU (Restricted Share Units)	Fedoretz, Jane Nyla	5	2021-10-01	56	13.31	62,715	60
TransAlta Corporation	DSU (Deferred Share Units)	Fohrer, Alan John	4	2021-10-01	56	13.31	118,438	393
TransAlta Corporation	DSU (Deferred Share Units)	FOLSE, Laura Waters	4	2021-10-01	56	13.31	3,301	5
TransAlta Corporation	PSU (Performance Share Units)	Gellner, Brett	5	2021-10-01	56	13.31	213,283	335
TransAlta Corporation	PSU (Performance Share Units)	Gellner, Brett	5	2021-10-01	56	13.31	213,481	198
TransAlta Corporation	PSU (Performance Share Units)	Gellner, Brett	5	2021-10-01	56	13.31	213,668	187
TransAlta Corporation	RSU (Restricted Share Units)	Gellner, Brett	5	2021-10-01	56	13.31	113,614	152
TransAlta Corporation	RSU (Restricted Share Units)	Gellner, Brett	5	2021-10-01	56	13.31	113,670	56
TransAlta Corporation	RSU (Restricted Share Units)	Gellner, Brett	5	2021-10-01	56	13.31	113,760	90
TransAlta Corporation	RSU (Restricted Share Units)	Gellner, Brett	5	2021-10-01	56	13.31	113,845	85
TransAlta Corporation	Common Shares	JEFFERS, Scott Thomas	5	2021-10-06	30	13.32	5,153	17
TransAlta Corporation	PSU (Performance Share Units)	JEFFERS, Scott Thomas	5	2021-10-01	56	13.31	17,190	25
TransAlta Corporation	PSU (Performance Share Units)	JEFFERS, Scott Thomas	5	2021-10-01	56	13.31	17,207	17
TransAlta Corporation	PSU (Performance Share Units)	JEFFERS, Scott Thomas	5	2021-10-01	56	13.31	17,223	16
TransAlta Corporation	RSU (Restricted Share Units)	JEFFERS, Scott Thomas	5	2021-10-01	56	13.31	14,959	13
TransAlta Corporation	RSU (Restricted Share Units)	JEFFERS, Scott Thomas	5	2021-10-01	56	13.31	14,980	21
TransAlta Corporation	RSU (Restricted Share Units)	JEFFERS, Scott Thomas	5	2021-10-01	56	13.31	14,989	9
TransAlta Corporation	RSU (Restricted Share Units)	JEFFERS, Scott Thomas	5	2021-10-01	56	13.31	14,997	8
TransAlta Corporation	Common Shares	KADONAGA, Shasta Rae	5	2021-10-06	30	13.32	2,137	7
TransAlta Corporation	PSU (Performance Share Units)	KADONAGA, Shasta Rae	5	2021-10-01	56	13.31	24,096	26

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	PSU (Performance Share Units)	KADONAGA, Shasta Rae	5	2021-10-01	56	13.31	24,111	15
TransAlta Corporation	PSU (Performance Share Units)	KADONAGA, Shasta Rae	5	2021-10-01	56	13.31	24,152	41
TransAlta Corporation	RSU (Restricted Share Units)	KADONAGA, Shasta Rae	5	2021-10-01	56	13.31	11,496	13
TransAlta Corporation	RSU (Restricted Share Units)	KADONAGA, Shasta Rae	5	2021-10-01	56	13.31	11,503	7
TransAlta Corporation	RSU (Restricted Share Units)	KADONAGA, Shasta Rae	5	2021-10-01	56	13.31	11,522	19
TransAlta Corporation	Common Shares	Kousinioris, John Harry	4, 5	2021-10-06	30	13.32	170,769	457
TransAlta Corporation	PSU (Performance Share Units)	Kousinioris, John Harry	4, 5	2021-10-01	56	13.31	267,429	300
TransAlta Corporation	PSU (Performance Share Units)	Kousinioris, John Harry	4, 5	2021-10-01	56	13.31	267,686	257
TransAlta Corporation	PSU (Performance Share Units)	Kousinioris, John Harry	4, 5	2021-10-01	56	13.31	268,032	346
TransAlta Corporation	RSU (Restricted Share Units)	Kousinioris, John Harry	4, 5	2021-10-01	56	13.31	138,983	136
TransAlta Corporation	RSU (Restricted Share Units)	Kousinioris, John Harry	4, 5	2021-10-01	56	13.31	139,042	59
TransAlta Corporation	RSU (Restricted Share Units)	Kousinioris, John Harry	4, 5	2021-10-01	56	13.31	139,159	117
TransAlta Corporation	RSU (Restricted Share Units)	Kousinioris, John Harry	4, 5	2021-10-01	56	13.31	139,316	157
TransAlta Corporation	Common Shares	NOVELLI, Michael Jon	5	2021-10-06	30	13.32	33,912	98
TransAlta Corporation	PSU (Performance Share Units)	NOVELLI, Michael Jon	5	2021-10-01	56	13.31	74,061	112
TransAlta Corporation	PSU (Performance Share Units)	NOVELLI, Michael Jon	5	2021-10-01	56	13.31	74,199	138
TransAlta Corporation	RSU (Restricted Share Units)	NOVELLI, Michael Jon	5	2021-10-01	56	13.31	33,664	51
TransAlta Corporation	RSU (Restricted Share Units)	NOVELLI, Michael Jon	5	2021-10-01	56	13.31	33,726	62
TransAlta Corporation	DSU (Deferred Share Units)	O'FLYNN, Thomas Mark	4	2021-10-01	56	13.31	3,301	5
TransAlta Corporation	PSU (Performance Share Units)	O'Reilly, Kerry Lynn	5	2021-10-01	56	13.31	134,005	200
TransAlta Corporation	PSU (Performance Share Units)	O'Reilly, Kerry Lynn	5	2021-10-01	56	13.31	134,123	118
TransAlta Corporation	PSU (Performance Share Units)	O'Reilly, Kerry Lynn	5	2021-10-01	56	13.31	134,257	134
TransAlta Corporation	RSU (Restricted Share Units)	O'Reilly, Kerry Lynn	5	2021-10-01	56	13.31	74,851	91
TransAlta Corporation	RSU (Restricted Share Units)	O'Reilly, Kerry Lynn	5	2021-10-01	56	13.31	74,898	47
TransAlta Corporation	RSU (Restricted Share Units)	O'Reilly, Kerry Lynn	5	2021-10-01	56	13.31	74,952	54
TransAlta Corporation	RSU (Restricted Share Units)	O'Reilly, Kerry Lynn	5	2021-10-01	56	13.31	75,013	61
TransAlta Corporation	DSU (Deferred Share Units)	Park, Beverlee Faye	4	2021-10-01	56	13.31	97,321	322
TransAlta Corporation	DSU (Deferred Share Units)	Pinney, Bryan Daniel	4	2021-10-01	56	13.31	66,643	214
TransAlta Corporation	DSU (Deferred Share Units)	SHARMAN, SANDY	4	2021-10-01	56	13.31	23,452	69
TransAlta Corporation	DSU (Deferred Share Units)	Slusser, Sarah Ann	4	2021-10-01	56	13.31	3,301	5
TransAlta Corporation	Common Shares	Stack, Todd John	5	2021-10-06	30	13.32	38,353	39
TransAlta Corporation	DSU (Deferred Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	6,906	23

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	PSU (Performance Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	108,831	64
TransAlta Corporation	PSU (Performance Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	108,880	49
TransAlta Corporation	PSU (Performance Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	108,989	109
TransAlta Corporation	PSU (Performance Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	109,135	146
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	56,753	32
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	56,771	18
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	56,797	26
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	56,847	50
TransAlta Corporation	RSU (Restricted Share Units)	Stack, Todd John	5	2021-10-01	56	13.31	56,913	66
TransAlta Corporation	PSU (Performance Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	45,696	29
TransAlta Corporation	PSU (Performance Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	45,742	46
TransAlta Corporation	PSU (Performance Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	45,798	56
TransAlta Corporation	PSU (Performance Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	45,821	23
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	149,744	15
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	149,764	20
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	149,789	25
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	149,799	10
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	149,849	50
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	150,102	253
TransAlta Corporation	RSU (Restricted Share Units)	van Melle, Blain Mitchell	5	2021-10-01	56	13.31	150,235	133
TransAlta Corporation	Common Shares	Ward, Brent Vincent	5	2021-10-06	30	13.32	11,241	35
TransAlta Corporation	PSU (Performance Share Units)	Ward, Brent Vincent	5	2021-10-01	56	13.31	24,227	27
TransAlta Corporation	PSU (Performance Share Units)	Ward, Brent Vincent	5	2021-10-01	56	13.31	24,245	18
TransAlta Corporation	PSU (Performance Share Units)	Ward, Brent Vincent	5	2021-10-01	56	13.31	24,282	37
TransAlta Corporation	RSU (Restricted Share Units)	Ward, Brent Vincent	5	2021-10-01	56	13.31	11,680	14
TransAlta Corporation	RSU (Restricted Share Units)	Ward, Brent Vincent	5	2021-10-01	56	13.31	11,689	9
TransAlta Corporation	RSU (Restricted Share Units)	Ward, Brent Vincent	5	2021-10-01	56	13.31	11,706	17
TransAlta Corporation	Common Shares	Willis, Aron John	5	2021-10-06	30	13.32	58,125	171
TransAlta Corporation	PSU (Performance Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	71,515	100
TransAlta Corporation	PSU (Performance Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	71,574	59
TransAlta Corporation	PSU (Performance Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	71,630	56
TransAlta Corporation	PSU (Performance Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	71,656	26



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
TransAlta Corporation	RSU (Restricted Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	32,506	45
TransAlta Corporation	RSU (Restricted Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	32,533	27
TransAlta Corporation	RSU (Restricted Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	32,559	26
TransAlta Corporation	RSU (Restricted Share Units)	Willis, Aron John	5	2021-10-01	56	13.31	32,571	12
TransAlta Corporation	Common Shares	WOODS, GARY	7	2021-10-06	30	13.32	31,455	106
TransAlta Corporation	PSU (Performance Share Units)	WOODS, GARY	7	2021-10-01	56	13.31	39,976	62
TransAlta Corporation	PSU (Performance Share Units)	WOODS, GARY	7	2021-10-01	56	13.31	40,014	38
TransAlta Corporation	PSU (Performance Share Units)	WOODS, GARY	7	2021-10-01	56	13.31	40,049	35
TransAlta Corporation	RSU (Restricted Share Units)	WOODS, GARY	7	2021-10-01	56	13.31	19,988	31
TransAlta Corporation	RSU (Restricted Share Units)	WOODS, GARY	7	2021-10-01	56	13.31	20,007	19
TransAlta Corporation	RSU (Restricted Share Units)	WOODS, GARY	7	2021-10-01	56	13.31	20,024	17
Trevali Mining Corporation	Deferred Share Units (DSUs)	Ball, Russell David	4	2021-10-01	46		1,690,100	111,842
Trevali Mining Corporation	Deferred Share Units (DSUs)	Gardiner, Jill Veronica	4	2021-10-01	56	0.19	2,009,901	197,368
Trevali Mining Corporation	Deferred Share Units (DSUs)	HULL, JEANE	4	2021-10-01	56	0.19	403,224	111,842
Trevali Mining Corporation	Deferred Share Units (DSUs)	ISSEROW, DAN	4	2021-10-01	56	0.19	2,001,953	111,842
Tribe Property Technologies Inc.	Common Shares	Yassin, Talal Riad	3	2021-10-05	10	3.25	2,915,655	2,500
Tribe Property Technologies Inc.	Common Shares	Yassin, Talal Riad	3	2021-10-06	10	3.15	2,916,755	1,100
Tribe Property Technologies Inc.	Common Shares	Yassin, Talal Riad	3	2021-10-07	10	3.15	2,918,155	1,400
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-01	38	2.483	450,000	150,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-02	38	2.4967	459,300	9,300
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-07	38	2.4988	507,300	48,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-08	38	2.4746	557,300	50,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-14	38	2.6271	607,300	50,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-16	38	2.6963	614,300	7,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-17	38	2.6589	663,000	48,700
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-20	38	2.5618	713,000	50,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-21	38	2.64	763,000	50,000
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-22	38	2.6765	791,600	28,600
Trican Well Service Ltd.	Common Shares	Trican Well Service Ltd.	1	2021-09-29	38		0	-791,600
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Baldrige, Kevin	7	2015-05-27	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Baldrige, Kevin	7	2021-10-07	10	16.29	13,025	13,025
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Berman, David	3, 4, 6, 5	2021-10-07	56	16.25	465,735	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Berman, Gary	4, 5	2021-10-07	10	16.29	381,048	60,987
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Carmody, Andrew	5	2017-09-05	00			

**Insider Reporting**

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Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Carmody, Andrew	5	2021-10-07	10	16.29	11,698	11,698
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Douglas, Camille	4	2021-10-07	56	16.25	21,371	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Dube, Evelyne	5	2021-10-07	56	16.25	25,392	8,301
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Ellenzweig, Jonathan	5	2010-05-14	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Ellenzweig, Jonathan	5	2021-10-07	10	16.29	18,029	18,029
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Francis, Wissam	5	2021-10-07	10	16.29	77,608	22,394
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Glover, Renee	4	2021-07-13	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Glover, Renee	4	2021-10-07	56	16.25	1,846	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Gluskin, Ira	4	2021-10-07	56	16.25	53,943	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Joyner, Andrew	5	2016-11-10	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Joyner, Andrew	5	2021-10-07	10	16.29	8,499	8,499
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	KNOWLTON, JOHN MICHAEL ARTHUR	4	2021-10-07	56	16.25	36,433	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Matthews, Sian Margaret	4	2021-10-07	56	16.25	66,184	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	MATUS, GEOFFREY	3, 4, 6, 5	2021-10-07	56	16.25	6,571	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Quesnel, Douglas Paul	5	2021-10-07	56	16.25	49,250	7,148
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Deferred Share Units	Sacks, Peter	4	2021-10-07	56	16.25	13,682	1,846
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Suski, Sherrie	5	2020-05-14	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Suski, Sherrie	5	2021-10-07	10	16.29	7,953	7,953
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Veneziano, David	5	2014-10-01	00			
Tricon Residential Inc. (formerly, Tricon Capital Group Inc.)	Restricted Common Shares	Veneziano, David	5	2021-10-07	10	16.29	9,596	9,596
Trigon Metals Inc.	Common Shares	Richardson, Jeddiah Kurt Richardson	4, 5	2021-10-01	54	0.25	5,067,080	433,333
Trigon Metals Inc.	Warrants	Richardson, Jeddiah Kurt Richardson	4, 5	2021-10-01	54	0.25	0	-433,333
Trilogy International Partners Inc.	Rights (Deferred Share Units)	Horn, Alan Douglas	4	2021-09-30	56		162,777	10,446

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Trilogy International Partners Inc.	Rights (Deferred Share Units)	Kroloff, Mark	4	2021-09-30	56		177,790	10,446
Trilogy International Partners Inc.	Rights (Deferred Share Units)	Mohamed, Nadir	4	2021-09-30	56		190,114	10,446
Trilogy International Partners Inc.	Rights (Deferred Share Units)	Satchu, Reza Rustom	4	2021-09-30	56		146,827	10,446
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hayden, William	4	2021-10-07	51	0.7	212,945	75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Hayden, William	4	2021-10-07	10	2.18	187,519	-25,426
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Hayden, William	4	2021-10-07	51	0.7	325,000	-75,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Walters, Diana	4	2021-10-06	51	0.7	50,000	40,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Walters, Diana	4	2021-10-06	10	2.21	10,000	-40,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Walters, Diana	4	2021-10-06	51	0.7	40,000	30,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Common Shares	Walters, Diana	4	2021-10-06	10	2.2	10,000	-30,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Walters, Diana	4	2021-10-06	51	0.7	355,000	-40,000
Trilogy Metals Inc. (formerly NovaCopper Inc.)	Options	Walters, Diana	4	2021-10-06	51	0.7	325,000	-30,000
Turquoise Hill Resources Ltd.	TRQ Deferred Share Unit	Burns, George Raymond	4	2021-10-07	56	18.46	26,206	1,350
Turquoise Hill Resources Ltd.	TRQ Deferred Share Unit	Robertson, Russel Clark	4	2021-10-07	56	18.46	88,717	2,030
U3O8 Corp.	Common Shares	Ross, John Charles	5	2021-10-04	54		318,750	140,000
U3O8 Corp.	Warrants	Ross, John Charles	5	2021-10-04	54		10,000	-140,000
UEX Corporation	Common Shares	Hamel, Christopher James	5	2021-09-29	00		48,492	
UEX Corporation	Options (Incentive stock options)	Hamel, Christopher James	5	2021-09-29	00		850,000	
UEX Corporation	Warrants	Hamel, Christopher James	5	2021-09-29	00		24,246	
UGE International Ltd.	Common Shares	BIRD, STEPHANIE	5	2021-10-04	00			
UGE International Ltd.	Options	BIRD, STEPHANIE	5	2021-10-04	00			
UGE International Ltd.	Options	BIRD, STEPHANIE	5	2021-10-04	50	1.41	100,000	100,000
Uni-Select Inc.	UnitOs d'actions diffOrOes (UAD) / Deferred Share Unit Plan	CORMIER, MICHELLE ANN	4	2021-09-30	56	18.188	80,086	1,655
Uni-Select Inc.	UnitOs d'actions diffOrOes (UAD) / Deferred Share Unit Plan	Gonthier, StOphane	4	2021-09-30	56	18.188	39,387	1,759
Uni-Select Inc.	UnitOs d'actions diffOrOes (UAD) / Deferred Share Unit Plan	Kunica, Matthew B.	4	2021-09-30	56	18.188	25,752	1,759
Uni-Select Inc.	UnitOs d'actions diffOrOes (UAD) / Deferred Share Unit Plan	Lenard, Chantel	4	2021-09-30	56	18.188	18,647	1,637
Uni-Select Inc.	UnitOs d'actions diffOrOes (UAD) / Deferred Share Unit Plan	Mifflin, Frederick James	4	2021-09-30	56	18.188	42,508	2,229
Uni-Select Inc.	UnitOs d'actions diffOrOes (UAD) / Deferred Share Unit Plan	Raymond, Pierre	4	2021-09-30	56	18.188	30,229	993

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Uni-Select Inc.	UnitOs d'actions diffOrOes (UAD) / Deferred Share Unit Plan	Samuel, David G.	4	2021-09-30	56	18.188	31,351	2,108
Uniserve Communications Corporation	Common Shares	Scholz, Michael Curt	3	2021-10-06	10	0.095	1,569,247	103,000
Uniserve Communications Corporation	Common Shares	Walker, Kelly Ali	4, 5	2021-09-29	16	0.1	253,928	100,000
Uniserve Communications Corporation	Common Shares	Walker, Kelly Ali	4, 5	2021-09-29	53	0.12	353,928	100,000
United Corporations Limited	Common Shares	United Corporations Limited	1	2021-09-20	10	109.75	100	100
United Corporations Limited	Common Shares	United Corporations Limited	1	2021-09-22	10	110	200	100
United Corporations Limited	Common Shares	United Corporations Limited	1	2021-09-30	38		100	-100
United Corporations Limited	Common Shares	United Corporations Limited	1	2021-09-30	38		0	-100
Upco International Inc.	Common Shares	Ramos Taboada, Juan Felipe	4	2020-05-08	00		7,500,000	
Upco International Inc.	Common Shares	Ramos Taboada, Juan Felipe	4	2020-06-01	46	0.07	8,454,800	954,800
Upco International Inc.	Common Shares	Ramos Taboada, Juan Felipe	4	2020-07-17	46	0.07	8,932,584	477,784
Upco International Inc.	Common Shares	Ramos Taboada, Juan Felipe	4	2020-09-28	46	0.05	9,843,584	911,000
Upco International Inc.	Common Shares	Ramos Taboada, Juan Felipe	4	2021-01-05	46	0.07	10,511,173	667,589
Upco International Inc.	Common Shares	Ramos Taboada, Juan Felipe	4	2021-04-26	46	0.165	10,653,045	141,872
Upco International Inc.	Common Shares	Ramos Taboada, Juan Felipe	4	2021-07-08	46	0.125	10,941,999	288,954
Urbana Corporation	Common Shares	Stinson, Sylvia V.	5	2016-11-11	00			
Urbana Corporation	Common Shares	Stinson, Sylvia V.	5	2021-10-05	10	3.56	3,000	3,000
Urbana Corporation	Common Shares	Stinson, Sylvia V.	5	2021-10-06	10	3.56		3,000
Urbana Corporation	Non-Voting Shares Class A	Stinson, Sylvia V.	5	2016-11-11	00			
Urbana Corporation	Non-Voting Shares Class A	Stinson, Sylvia V.	5	2021-10-05	10	3.35	15,000	15,000
Urbana Corporation	Non-Voting Shares Class A	Stinson, Sylvia V.	5	2021-10-06	10	3.35		15,000
Urbana Corporation	Non-Voting Shares Class A	Urbana Corporation	1	2021-09-24	38	3.3	600,000	600,000
Urbana Corporation	Non-Voting Shares Class A	Urbana Corporation	1	2021-09-24	38		0	-600,000
VALEO PHARMA INC.	Common Shares Class A	100079 Canada Inc.	3	2021-10-01	10	0.75	8,413,965	50,000
VALEO PHARMA INC.	Common Shares Class A	100079 Canada Inc.	3	2021-10-01	10	0.75	8,463,965	50,000
VALEO PHARMA INC.	Common Shares Class A	100079 Canada Inc.	3	2021-10-07	10	0.9	8,513,965	50,000
VALEO PHARMA INC.	Common Shares Class A	100079 Canada Inc.	3	2021-10-07	10	0.9	8,563,965	50,000
VALEO PHARMA INC.	Common Shares Class A	100079 Canada Inc.	3	2021-10-07	10	0.9	8,613,965	50,000
VALEO PHARMA INC.	Common Shares Class A	100079 Canada Inc.	3	2021-10-07	10	0.9	8,663,965	50,000
VALEO PHARMA INC.	Common Shares Class A	MacKay, Richard J.	4, 6	2021-10-01	10	0.75	8,313,965	50,000
VALEO PHARMA INC.	Common Shares Class A	MacKay, Richard J.	4, 6	2021-10-01	10	0.75	8,363,965	50,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
VALEO PHARMA INC.	Common Shares Class A	MacKay, Richard J.	4, 6	2021-10-07	10	0.9	8,413,965	50,000
VALEO PHARMA INC.	Common Shares Class A	MacKay, Richard J.	4, 6	2021-10-07	10	0.9	8,463,965	50,000
VALEO PHARMA INC.	Common Shares Class A	MacKay, Richard J.	4, 6	2021-10-07	10	0.9	8,513,965	50,000
VALEO PHARMA INC.	Common Shares Class A	MacKay, Richard J.	4, 6	2021-10-07	10	0.9	8,563,965	50,000
VALEO PHARMA INC.	Common Shares Class A	Mainville, Luc	5	2021-10-05	10	0.88	393,000	50,000
Valterra Resource Corporation	Warrants	Page, Lawrence Peter	4, 5	2021-10-05	55		50,000	-40,000
Valterra Resource Corporation	Warrants	Thatcher, Graham Henry	5	2021-10-05	55	0.125	200,000	-45,000
Velocity Minerals Ltd.	Common Shares	Kopple, Robert Charles	3	2021-10-05	10	0.41	3,746,072	11,000
Vermilion Energy Inc.	Common Shares	Donadeo, Lorenzo	4, 5	2021-09-30	30	9.6963	3,036,002	281
Vermilion Energy Inc.	Common Shares	Glemser, Lars William	5	2021-09-30	30	9.6963	41,954	457
Vermilion Energy Inc.	Common Shares	Hatcher, Dion	5	2021-09-30	30	9.6963	68,832	422
Vermilion Energy Inc.	Common Shares	Hicks, Curtis W.	5	2021-09-30	30	9.6963	362,433	598
Vermilion Energy Inc.	Common Shares	Jeffery, Yvonne	5	2021-09-30	30	9.6963	15,480	253
Vermilion Energy Inc.	Common Shares	Jeffery, Yvonne	5	2021-10-01	57	11.793	21,629	6,149
Vermilion Energy Inc.	Common Shares	Jeffery, Yvonne	5	2021-10-01	30	12.893	18,919	-2,710
Vermilion Energy Inc.	Rights Share Awards	Jeffery, Yvonne	5	2021-10-01	57	11.793	36,089	-4,099
Vermilion Energy Inc.	Common Shares	Kerwin, Darcy Blake	5	2021-09-30	30	9.6963	116,558	373
Vermilion Energy Inc.	Common Shares	Kerwin, Darcy Blake	5	2021-10-01	57	11.793	132,386	15,828
Vermilion Energy Inc.	Common Shares	Kerwin, Darcy Blake	5	2021-10-01	30	12.893	125,409	-6,977
Vermilion Energy Inc.	Rights Share Awards	Kerwin, Darcy Blake	5	2021-10-01	57	11.793	101,112	-10,552
Vermilion Energy Inc.	Common Shares	Knickel, Carin Shirley	4	2021-10-01	57	11.793	18,801	5,703
Vermilion Energy Inc.	Common Shares	Knickel, Carin Shirley	4	2021-10-01	30	12.893	17,204	-1,597
Vermilion Energy Inc.	Rights Share Awards	Knickel, Carin Shirley	4	2021-10-01	57	11.793	-2	-3,415
Vermilion Energy Inc.	Common Shares	Preston, Kyle	5	2021-09-30	30	9.6963	56,968	394
Vermilion Energy Inc.	Common Shares	Preston, Kyle	5	2021-10-01	57	11.793	60,973	4,005
Vermilion Energy Inc.	Common Shares	Preston, Kyle	5	2021-10-01	30	12.893	59,208	-1,765
Vermilion Energy Inc.	Rights Share Awards	Preston, Kyle	5	2021-10-01	57	11.793	91,631	-2,670
Vermilion Energy Inc.	Common Shares	Tan, Jenson Jit-Chang	5	2021-09-30	30	9.6963	78,515	436
VersaBank	Common Shares	Oliver, Paul G.	4	2021-10-05	90		5,299	351
VersaBank	Common Shares	Oliver, Paul G.	4	2021-10-05	90		9,356	-351
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2021-10-01	10	14	415,000	2,000
VersaBank	Common Shares	TAYLOR, DAVID ROY	4, 5	2021-10-01	10	13.83	9,000	200
Veta Resources Inc. (formerly, Southeast Asia Mining Corp.)	Common Shares	Irwin, Christopher	4	2018-07-11	00			
Veta Resources Inc. (formerly, Southeast Asia Mining Corp.)	Common Shares	Irwin, Christopher	4	2021-10-08	16	0.02	6,000,000	6,000,000
Veta Resources Inc. (formerly, Southeast Asia Mining Corp.)	Common Shares	Irwin, Christopher	4	2021-10-08	16	0.02	20,272,148	14,272,148
Vicinity Motor Corp.	DSU	White, James David Alexander	4	2021-10-01	56		28,688	6,036
Vizsla Silver Corp.	Options	Liyanage, Mahesh Nalinda	5	2021-06-22	50	2.31		255,000
Vizsla Silver Corp.	Options	Liyanage, Mahesh Nalinda	5	2021-06-22	50	2.31		255,000
Vizsla Silver Corp.	Options	Liyanage, Mahesh Nalinda	5	2021-06-22	50	2.31	525,000	225,000
Volatus Capital Corp.	Common Shares	Crest Resources Inc.	3	2021-10-07	10	0.11	18,765,667	400,000

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Volcanic Gold Mines Inc	Common Shares	Ridgway, Simon T.P.	4, 5	2021-10-05	10	0.355	1,759,737	20,000
Vox Royalty Corp.	Common Shares	Kaip, Andrew William	4	2021-02-08	00			
Vox Royalty Corp.	Common Shares	Kaip, Andrew William	4	2021-03-25	15	3	33,300	33,300
Vox Royalty Corp.	Common Shares	Kaip, Andrew William	4	2021-03-25	53	4.5	49,950	16,650
VOYAGEUR MINERAL EXPLORERS CORP. (formerly Copper Reef Mining Corp.)	Common Shares	Howlett, Brian	4, 5	2021-10-07	54	0.35	315,000	25,000
VOYAGEUR MINERAL EXPLORERS CORP. (formerly Copper Reef Mining Corp.)	Warrants	Howlett, Brian	4, 5	2021-10-07	54	0.35	75,000	-25,000
VOYAGEUR MINERAL EXPLORERS CORP. (formerly Copper Reef Mining Corp.)	Warrants	Howlett, Brian	4, 5	2021-10-07	55	0.35	50,000	-25,000
VOYAGEUR MINERAL EXPLORERS CORP. (formerly Copper Reef Mining Corp.)	Common Shares	Laschinger, Fraser James	4	2021-10-07	10	0.35	120,000	20,000
VOYAGEUR MINERAL EXPLORERS CORP. (formerly Copper Reef Mining Corp.)	Common Shares	Laschinger, Fraser James	4	2021-10-08	10	0.335	130,000	10,000
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	ABI-KARAM, LESLIE	4	2021-10-05	30	22.97	3,933	35
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Alford, Thomas Malcolm	4	2021-10-05	30	22.97	58,463	614
Wajax Corporation	2015 Deferred Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	3,835	41
Wajax Corporation	2016 Deferred Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	5,500	59
Wajax Corporation	2017 Deferred Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	3,985	43
Wajax Corporation	2018 Deferred Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	4,041	44
Wajax Corporation	2019 Deferred Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	4,482	48
Wajax Corporation	2019 Performance Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	8,964	96
Wajax Corporation	2019 Restricted Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	4,482	48
Wajax Corporation	2020 Performance Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	13,387	144
Wajax Corporation	2020 Restricted Share Units	Auld, Stuart Harrison	5	2021-10-05	30	22.97	13,387	144
Wajax Corporation	2021 Performance Share Units	Auld, Stuart Harrison	5	2021-10-05	30	23.15	8,124	86
Wajax Corporation	2021 Restricted Share Units	Auld, Stuart Harrison	5	2021-10-05	30	23.15	8,125	87
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Barrett, Edward Malcolm	4	2021-10-05	30	22.97	61,235	652
Wajax Corporation	2019 Performance Share Units	Beaudry, Robert Charles	5	2021-10-05	30	22.97	1,199	12
Wajax Corporation	2019 Restricted Share Units	Beaudry, Robert Charles	5	2021-10-05	30	22.97	3,595	39
Wajax Corporation	2020 Performance Share Units	Beaudry, Robert Charles	5	2021-10-05	30	22.97	1,574	16
Wajax Corporation	2020 Restricted Share Units	Beaudry, Robert Charles	5	2021-10-05	30	22.97	4,725	51

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wajax Corporation	2021 Performance Share Units	Beaudry, Robert Charles	5	2021-10-05	30	23.15	956	10
Wajax Corporation	2021 Restricted Share Units	Beaudry, Robert Charles	5	2021-10-05	30	23.15	3,963	42
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Carty, Douglas	4	2021-10-05	30	22.97	46,193	489
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Chrominska, Sylvia Dolores	4	2021-10-05	30	22.97	28,802	302
Wajax Corporation	2014 Deferred Share Units	Deck, Steven	5	2021-10-05	30	22.97	5,693	61
Wajax Corporation	2015 Deferred Share Units	Deck, Steven	5	2021-10-05	30	22.97	3,974	43
Wajax Corporation	2016 Deferred Share Units	Deck, Steven	5	2021-10-05	30	22.97	12,566	135
Wajax Corporation	2019 Performance Share Units	Deck, Steven	5	2021-10-05	30	22.97	10,186	110
Wajax Corporation	2019 Restricted Share Units	Deck, Steven	5	2021-10-05	30	22.97	10,187	110
Wajax Corporation	2020 Performance Share Units	Deck, Steven	5	2021-10-05	30	22.97	15,173	164
Wajax Corporation	2020 Restricted Share Units	Deck, Steven	5	2021-10-05	30	22.97	15,172	163
Wajax Corporation	2021 Performance Share Units	Deck, Steven	5	2021-10-05	30	23.15	9,208	98
Wajax Corporation	2021 Restricted Share Units	Deck, Steven	5	2021-10-05	30	23.15	9,207	98
Wajax Corporation	Rights Share Ownership Plan	Deck, Steven	5	2021-10-05	30	22.97	30,193	325
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Dexter, Robert P.	4	2021-10-05	30	22.97	147,037	1,570
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Eby, John Clifford	4	2021-10-05	30	22.97	65,965	698
Wajax Corporation	2019 Performance Share Units	Foote, Alan Mark	4	2021-10-05	30	22.97	37,685	406
Wajax Corporation	2019 Restricted Share Units	Foote, Alan Mark	4	2021-10-05	30	22.97	37,686	406
Wajax Corporation	2020 Performance Share Units	Foote, Alan Mark	4	2021-10-05	30	22.97	49,518	534
Wajax Corporation	2020 Restricted Share Units	Foote, Alan Mark	4	2021-10-05	30	22.97	49,515	533
Wajax Corporation	2021 Performance Share Units	Foote, Alan Mark	4	2021-10-05	30	23.15	30,054	322
Wajax Corporation	2021 Restricted Share Units	Foote, Alan Mark	4	2021-10-05	30	23.15	42,072	449
Wajax Corporation	Rights Share Ownership Plan	Foote, Alan Mark	4	2021-10-05	30	22.97	25,985	280
Wajax Corporation	2019 Performance Share Units	Stretton, Irene	5	2021-10-05	30	22.97	804	8
Wajax Corporation	2019 Restricted Share Units	Stretton, Irene	5	2021-10-05	30	22.97	3,629	39
Wajax Corporation	2020 Performance Share Units	Stretton, Irene	5	2021-10-05	30	22.97	2,101	22
Wajax Corporation	2020 Restricted Share Units	Stretton, Irene	5	2021-10-05	30	22.97	6,299	68
Wajax Corporation	2021 Performance Share Units	Stretton, Irene	5	2021-10-05	30	23.15	1,276	14
Wajax Corporation	2021 Restricted Share Units	Stretton, Irene	5	2021-10-05	30	23.15	5,098	54

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wajax Corporation	2019 Performance Share Units	Tam, Andrew	5	2021-10-05	30	22.97	1,908	20
Wajax Corporation	2019 Restricted Share Units	Tam, Andrew	5	2021-10-05	30	22.97	5,733	62
Wajax Corporation	2020 Performance Share Units	Tam, Andrew	5	2021-10-05	30	22.97	2,614	28
Wajax Corporation	2020 Restricted Share Units	Tam, Andrew	5	2021-10-05	30	22.97	7,835	84
Wajax Corporation	2021 Performance Share Units	Tam, Andrew	5	2021-10-05	30	23.15	1,585	16
Wajax Corporation	2021 Restricted Share Units	Tam, Andrew	5	2021-10-05	30	23.15	6,030	64
Wajax Corporation	Rights Share Ownership Plan	Tam, Andrew	5	2021-10-05	30	22.97	2,938	32
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Taylor, Alexander S.	4	2021-10-05	30	22.97	35,291	373
Wajax Corporation	Rights Directors' Deferred Share Unit Plan	Uthayakumar, Vasuki Susan	4	2021-10-05	30	22.97	3,933	35
WeCommerce Holdings Ltd. (formerly Brachium Capital Corp.)	Rights Restricted Share Unit (RSU)	Dumont, Andrew James	7	2021-08-26	00		35,972	
Wesana Health Holdings Inc. (formerly Debut Diamonds Inc.)	Common Shares	The K2 Principal Fund L.P.	3	2021-10-05	10	2.8962	1,736,865	7,800
Wesana Health Holdings Inc. (formerly Debut Diamonds Inc.)	Common Shares	The K2 Principal Fund L.P.	3	2021-10-07	10	2.744	1,746,865	10,000
West Fraser Timber Co. Ltd.	Deferred Share Unit	Carter, Reid Ewart	4	2021-09-30	56		11,516	223
West Fraser Timber Co. Ltd.	Deferred Share Unit	Carter, Reid Ewart	4	2021-10-05	56		11,543	27
West Fraser Timber Co. Ltd.	Deferred Share Unit	Floren, John	4	2021-09-30	56		7,697	200
West Fraser Timber Co. Ltd.	Deferred Share Unit	Floren, John	4	2021-10-05	56		7,715	18
West Fraser Timber Co. Ltd.	Deferred Share Unit	Kenning, Brian Graham	4	2021-09-30	56		5,888	200
West Fraser Timber Co. Ltd.	Deferred Share Unit	Kenning, Brian Graham	4	2021-10-05	56		5,901	13
West Fraser Timber Co. Ltd.	Deferred Share Unit	KETCHAM, HENRY HOLMAN III	4, 5	2021-09-30	56		700	200
West Fraser Timber Co. Ltd.	Deferred Share Unit	KETCHAM, HENRY HOLMAN III	4, 5	2021-10-05	56		701	1
West Fraser Timber Co. Ltd.	Deferred Share Unit	Lawson, Marian	4	2021-09-30	56		2,810	399
West Fraser Timber Co. Ltd.	Deferred Share Unit	Lawson, Marian	4	2021-10-05	56		2,817	7
West Fraser Timber Co. Ltd.	Deferred Share Unit	McMorrow, Colleen	4	2021-09-30	56		2,177	399
West Fraser Timber Co. Ltd.	Deferred Share Unit	McMorrow, Colleen	4	2021-10-05	56		2,182	5
West Fraser Timber Co. Ltd.	Deferred Share Unit	Miller, Gerald	4	2021-09-30	56		14,689	200
West Fraser Timber Co. Ltd.	Deferred Share Unit	Miller, Gerald	4	2021-10-05	56		14,723	34
West Fraser Timber Co. Ltd.	Deferred Share Unit	Phillips, Robert L.	4	2021-09-30	56		16,832	200
West Fraser Timber Co. Ltd.	Deferred Share Unit	Phillips, Robert L.	4	2021-10-05	56		16,871	39
West Fraser Timber Co. Ltd.	Deferred Share Unit	Rennie, Janice Gaye	4	2021-10-05	56		20,680	48



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
West Fraser Timber Co. Ltd.	Deferred Share Unit	Winckler, Gillian	4	2021-09-30	56		6,724	270
West Fraser Timber Co. Ltd.	Deferred Share Unit	Winckler, Gillian	4	2021-10-05	56		6,740	16
Westbridge Energy Corporation	Common Shares	Yang, Marcus	4	2021-09-30	51	0.1	975,000	175,000
Westbridge Energy Corporation	Options	Yang, Marcus	4	2021-09-30	51	0.1	0	-175,000
Western Copper and Gold Corporation	Options	Shaw, Shena	5	2021-10-01	00			
Western Copper and Gold Corporation	Options	Shaw, Shena	5	2021-10-01	50	1.85	100,000	100,000
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Bird, Jane Marie	4	2021-10-05	56	2.13	322,364	10,798
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Cillis, Laura Ann	4	2021-10-05	56	2.13	35,847	4,343
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Phyfer, Cheri Marie	4	2021-10-05	56	2.13	164,979	12,911
Western Forest Products Inc.	Deferred Share Units (Cash Settled)	Waites, Michael T.	4	2021-10-05	56	2.13	639,961	22,300
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-01	38	2.0996	808,161	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-02	38	2.1131	1,077,548	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-03	38	2.1545	1,346,935	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-07	38	2.1907	1,616,322	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-08	38	2.1728	1,885,709	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-09	38	2.1995	2,155,096	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-10	38	2.2295	2,424,483	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-13	38	2.2089	2,693,870	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-14	38	2.1337	2,963,257	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-15	38	2.0668	3,232,644	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-16	38	2.0323	3,502,031	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-17	38	2.0217	3,771,418	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-20	38	1.9402	4,040,805	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-21	38	1.9386	4,310,192	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-22	38	1.9762	4,579,579	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-23	38	2.063	4,701,479	121,900
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-24	38	2.1872	4,970,866	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-27	38	2.2479	5,240,253	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-28	38	2.2028	5,509,640	269,387
Western Forest Products Inc.	Common Shares	Western Forest Products Inc.	1	2021-09-29	38		269,387	-5,240,253
Western Uranium & Vanadium Corp. (formerly	Common Shares	Glazier, George Edwin Lee	3, 4, 5	2021-10-04	51	2.5	4,810,869	27,536

**Insider Reporting**

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Western Uranium Corporation)								
Western Uranium & Vanadium Corp. (formerly Western Uranium Corporation)	Options Employee	Glasier, George Edwin Lee	3, 4, 5	2021-10-04	51		375,000	-100,000
Western Uranium & Vanadium Corp. (formerly Western Uranium Corporation)	Common Shares	Klein, Robert	5	2021-10-04	51	2.5	38,358	18,358
Western Uranium & Vanadium Corp. (formerly Western Uranium Corporation)	Options Employee	Klein, Robert	5	2021-10-04	51	2.5	608,334	-66,666
Western Uranium & Vanadium Corp. (formerly Western Uranium Corporation)	Common Shares	Wilder, Andrew	4	2015-02-06	00			
Western Uranium & Vanadium Corp. (formerly Western Uranium Corporation)	Common Shares	Wilder, Andrew	4	2021-10-04	51	2.5	41,304	41,304
Western Uranium & Vanadium Corp. (formerly Western Uranium Corporation)	Options Employee	Wilder, Andrew	4	2021-10-04	51		575,000	-150,000
Westshore Terminals Investment Corporation	Common Shares	Dudar, Glenn Dalziel	7	2021-10-07	10	26.926	18,000	-2,000
Westward Gold Inc.	Common Shares	Dewdney, Johnathan	4	2021-10-07	10	0.115	750,000	100,000
Whitecap Resources Inc.	Common Shares	Nerbas, Michael John	5	2021-10-08	10	7.63	26,997	2,000
Whitehorse Gold Corp.	Common Shares	Kong, David TokPay	6	2021-09-29	10	0.9	332,400	-5,000
Wikileaf Technologies Inc.	Common Shares	Cruise, Connor Graham	4	2021-10-01	57		5,117,335	1,300,000
Wikileaf Technologies Inc.	Rights RSU	Cruise, Connor Graham	4	2021-10-01	57		0	-1,300,000
Wikileaf Technologies Inc.	Common Shares	Hinz, Murray Robert	4	2021-10-05	36		600,490	250,000
Wikileaf Technologies Inc.	Rights RSU	Hinz, Murray Robert	4	2021-10-05	36		0	-250,000
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Performance Share Units (Variable Voting)	Berger, Damon Joseph	5	2021-10-01	00			
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Variable Voting)	Berger, Damon Joseph	5	2021-10-01	00		126,926	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Variable Voting Shares	Berger, Damon Joseph	5	2021-10-01	00			
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Betts, Stephanie Jacklynn	5	2021-10-01	00		14,062	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Options	Betts, Stephanie Jacklynn	5	2021-10-01	00		100,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Performance Share Units (Common Voting)	Betts, Stephanie Jacklynn	5	2021-10-01	00		50,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Betts, Stephanie Jacklynn	5	2021-10-01	00		202,123	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Brennan, Deirdre Anne	5	2021-10-01	00		13,468	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Performance Share Units (Common Voting)	Brennan, Deirdre Anne	5	2021-10-01	00		50,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Brennan, Deirdre Anne	5	2021-10-01	00		204,210	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Neath, Danielle Louise	5	2021-10-01	00		12,073	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Options	Neath, Danielle Louise	5	2021-10-01	00		35,000	

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Performance Share Units (Common Voting)	Neath, Danielle Louise	5	2021-10-01	00		50,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Neath, Danielle Louise	5	2021-10-01	00		82,950	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Common Voting Shares	Talbot, Tara Mary	5	2021-10-01	00		37,787	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Options	Talbot, Tara Mary	5	2021-10-01	00		165,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Performance Share Units (Common Voting)	Talbot, Tara Mary	5	2021-10-01	00		125,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Common Voting)	Talbot, Tara Mary	5	2021-10-01	00		279,210	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Options	Weck, Maarten Jan Henk	5	2021-10-01	00		25,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Performance Share Units (Variable Voting)	Weck, Maarten Jan Henk	5	2021-10-01	00		100,000	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Rights Restricted Share Units (Variable Voting)	Weck, Maarten Jan Henk	5	2021-10-01	00		206,087	
WildBrain Ltd. (formerly, DHX Media Ltd.)	Variable Voting Shares	Weck, Maarten Jan Henk	5	2021-10-01	00		16,987	
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.4	800	800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.39	1,100	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.38	1,500	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.37	2,200	700
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.36	3,100	900
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.35	3,700	600
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.35	4,000	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-01	38	1.35	5,100	1,100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.4	5,300	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.4	5,400	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.4	5,600	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.4	5,700	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.4	5,900	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.4	6,100	200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.4	6,300	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	6,500	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	6,800	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	6,900	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	7,100	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	7,300	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	7,500	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	7,700	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	7,900	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,000	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,100	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,200	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,300	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,500	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,600	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,700	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,800	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	8,900	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	9,000	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	9,300	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	9,700	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.35	9,900	200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	10,000	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	10,200	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	10,400	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	10,800	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	11,100	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	11,300	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	11,600	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	11,800	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	12,100	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	12,300	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	12,600	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	13,000	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	13,200	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	13,600	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	14,100	500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	14,400	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	14,800	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	15,100	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	15,400	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	15,700	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	16,000	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	16,200	200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	16,500	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.34	17,000	500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.33	17,800	800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	17,900	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	19,500	1,600
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	20,200	700
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	20,300	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	20,800	500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	21,000	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	21,100	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-02	38	1.32	22,900	1,800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.2	23,100	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	23,400	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	23,700	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	23,900	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	24,200	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	24,500	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	24,700	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	24,900	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	25,100	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	25,400	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	25,600	200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	25,800	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	25,900	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	26,100	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.13	26,300	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.13	26,500	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	26,800	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	27,100	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.14	27,400	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.16	27,700	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.19	28,800	1,100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.19	29,800	1,000
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.19	30,600	800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-10	38	1.19	30,700	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	31,100	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	31,800	700
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	32,700	900
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	33,200	500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	34,300	1,100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	35,100	800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	36,300	1,200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	37,500	1,200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-13	38	1.22	38,700	1,200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	38,900	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	39,000	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	39,100	100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	39,300	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	39,600	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	39,900	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	40,100	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	40,500	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.2	40,900	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-14	38	1.18	42,300	1,400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-15	38	1.22	42,500	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-15	38	1.2	42,800	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-15	38	1.2	43,400	600
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-15	38	1.2	43,800	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-15	38	1.2	44,400	600
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-16	38	1.22	44,700	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-16	38	1.22	45,200	500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-16	38	1.21	45,700	500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-17	38	1.22	45,900	200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-17	38	1.22	46,300	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-17	38	1.22	46,600	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-17	38	1.22	46,900	300



**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-17	38	1.22	47,300	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-17	38	1.22	47,700	400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-09-17	38	1.22	48,000	300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	47,200	-800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.39	46,900	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.38	46,500	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.37	45,800	-700
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.36	44,900	-900
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	44,300	-600
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	44,000	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	42,900	-1,100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	42,700	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	42,600	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	42,400	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	42,300	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	42,100	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	41,900	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.4	41,700	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	41,500	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	41,200	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	41,100	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	40,900	-200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	40,700	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	40,500	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	40,300	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	40,100	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	40,000	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,900	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,800	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,700	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,500	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,400	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,300	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,200	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,100	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	39,000	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	38,700	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	38,300	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.35	38,100	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	38,000	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	37,800	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	37,600	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	37,200	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	36,900	-300

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	36,700	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	36,400	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	36,200	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	35,900	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	35,700	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	35,400	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	35,000	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	34,800	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	34,400	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	10	1.34	33,900	-500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	33,600	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	33,200	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	32,900	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	32,600	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	32,300	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	32,000	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	31,800	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	31,500	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.34	31,000	-500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.33	30,200	-800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	30,100	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	28,500	-1,600

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	27,800	-700
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	27,700	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	27,200	-500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	27,000	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	26,900	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.32	25,100	-1,800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	24,900	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	24,600	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	24,300	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	24,100	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	23,800	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	23,500	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	23,300	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	23,100	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	22,900	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	22,600	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	22,400	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	22,200	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	22,100	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	21,900	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.13	21,700	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.13	21,500	-200

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	21,200	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	20,900	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.14	20,600	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.16	20,300	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.19	19,200	-1,100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.19	18,200	-1,000
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.19	17,400	-800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.19	17,300	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	16,900	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	16,200	-700
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	15,300	-900
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	14,800	-500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	13,700	-1,100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	12,900	-800
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	11,700	-1,200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	10,500	-1,200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	9,300	-1,200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	9,100	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	9,000	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	8,900	-100
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	8,700	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	8,400	-300

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	8,100	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	7,900	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	7,500	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	7,100	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.18	5,700	-1,400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	5,500	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	5,200	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	4,600	-600
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	4,200	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.2	3,600	-600
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	3,300	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	2,800	-500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.21	2,300	-500
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	2,100	-200
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	1,700	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	1,400	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	1,100	-300
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	700	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	300	-400
Wishpond Technologies Ltd. (formerly, Antera Ventures I Corp.)	Common Shares	Wishpond Technologies Ltd.	1	2021-10-01	38	1.22	0	-300
XORTX Therapeutics Inc.	Common Shares	Davidoff, Allen Warren	4, 5	2021-09-24	37		418,417	-4,493,803
XORTX Therapeutics Inc.	Options	Davidoff, Allen Warren	4, 5	2021-09-24	37		542,589	-457,411
XORTX Therapeutics Inc.	Options	Davidoff, Allen Warren	4, 5	2021-09-24	37		85,178	-457,411
XORTX Therapeutics Inc.	Warrants	Davidoff, Allen Warren	4, 5	2021-02-28	55		100,000	-357,143
XORTX Therapeutics Inc.	Warrants	Davidoff, Allen Warren	4, 5	2021-09-24	37		8,517	-91,483

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
XORTX Therapeutics Inc.	Common Shares	Farley, William James	4	2021-05-26	00			
XORTX Therapeutics Inc.	Options	Farley, William James	4	2021-09-24	37		21,294	-228,706
XORTX Therapeutics Inc.	Common Shares	Haworth, Stephen	5	2021-06-30	00			
XORTX Therapeutics Inc.	Options	Haworth, Stephen	5	2021-06-30	00			
XORTX Therapeutics Inc.	Options	Haworth, Stephen	5	2021-09-24	50		21,294	21,294
XORTX Therapeutics Inc.	Common Shares	Keshri, Amar Deep	5	2021-07-14	00			
XORTX Therapeutics Inc.	Options	Keshri, Amar Deep	5	2021-07-14	00		250,000	
XORTX Therapeutics Inc.	Options	Keshri, Amar Deep	5	2021-09-24	37		21,294	-228,706
XORTX Therapeutics Inc.	Common Shares	Klassen, Ian McCulloch	4	2021-09-24	37		42,759	-459,241
XORTX Therapeutics Inc.	Options	Klassen, Ian McCulloch	4	2021-09-24	37	2.82	362,776	-137,224
XORTX Therapeutics Inc.	Options	Klassen, Ian McCulloch	4	2021-09-24	37	3.29	42,588	-320,188
XORTX Therapeutics Inc.	Options	Le Saux, Jacqueline Henriette Raymonde	4	2021-06-16	00		250,000	
XORTX Therapeutics Inc.	Options	Le Saux, Jacqueline Henriette Raymonde	4	2021-09-24	37		21,294	-228,706
XORTX Therapeutics Inc.	Options	May, Charlotte Mary-Anne	5	2021-09-24	37		258,517	-91,483
XORTX Therapeutics Inc.	Options	May, Charlotte Mary-Anne	5	2021-09-24	37		29,811	-228,706
XORTX Therapeutics Inc.	Common Shares	Rowlands, William Bruce	4	2021-09-24	37			-291,986
XORTX Therapeutics Inc.	Common Shares	Rowlands, William Bruce	4	2021-09-24	37		114,577	-1,230,566
XORTX Therapeutics Inc.	Common Shares	Rowlands, William Bruce	4	2021-09-24	37			-1,230,566
XORTX Therapeutics Inc.	Common Shares	Rowlands, William Bruce	4	2021-09-24	37		27,186	-291,986
XORTX Therapeutics Inc.	Options	Rowlands, William Bruce	4	2021-09-24	37			-137,224
XORTX Therapeutics Inc.	Options	Rowlands, William Bruce	4	2021-09-24	37		462,776	-137,224
XORTX Therapeutics Inc.	Options	Rowlands, William Bruce	4	2021-09-24	37		51,106	-411,670
XORTX Therapeutics Inc.	Warrants	Rowlands, William Bruce	4	2021-09-24	37		22,146	-237,854
XORTX Therapeutics Inc.	Common Shares	Van Damme, Paul Joseph	4	2021-09-24	37		63,908	-686,376
XORTX Therapeutics Inc.	Options	Van Damme, Paul Joseph	4	2021-09-24	37		312,776	-137,224
XORTX Therapeutics Inc.	Options	Van Damme, Paul Joseph	4	2021-09-24	37		38,329	-274,447
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-04	38	0.97	4,000	4,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-04	38		0	-4,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-05	38	0.9731	8,000	8,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-05	38		0	-8,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-06	38	0.95	7,000	7,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-06	38		0	-7,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-07	38	0.95	4,000	4,000
Xtra-Gold Resources Corp.	Common Shares	Xtra-Gold Resources Corp.	1	2021-10-07	38		0	-4,000
Yellow Pages Limited	Restricted Share Unit	Cooper, Treena	4	2021-09-15	56			112
Yellow Pages Limited	Restricted Share Unit	Cooper, Treena	4	2021-09-15	56	14.181		112
Yellow Pages Limited	Restricted Share Unit	Cooper, Treena	4	2021-09-15	56	14.181		112
Yellow Pages Limited	Restricted Share Unit	Cooper, Treena	4	2021-09-15	56	14.181		112
Yellow Pages Limited	Restricted Share Unit	Cooper, Treena	4	2021-09-15	56	14.181	10,786	112
Yellow Pages Limited	Deferred Share Unit	Eckert, David Alan	5	2021-09-15	56	14.181	26,463	276
Yellow Pages Limited	Restricted Share Unit	Eckert, David Alan	5	2021-09-15	56	14.181	274,376	2,871
Yellow Pages Limited	Deferred Share Unit	Forman, Craig	4	2021-09-15	56	14.181	67,527	706
Yellow Pages Limited	Common Shares	GoldenTree Asset Management LP	3	2021-09-30	10	13.75	3,636,115	-25,600
Yellow Pages Limited	Deferred Share Unit	Hall, Rob	4	2021-09-15	56	14.181	48,464	507

**Insider Reporting**

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Yellow Pages Limited	Restricted Share Unit	King, Sherilyn Ann	5	2021-09-15	56	14.181	10,163	106
Yellow Pages Limited	Deferred Share Unit	Kudzman, Susan	4	2021-09-15	56	14.181	110,507	1,156
Yellow Pages Limited	Deferred Share Unit	Russo, Paul W.	4	2021-09-15	56	14.181	44,765	468
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-01	38	14.35	1,406,900	1,400
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-02	38	14.32	1,408,300	1,400
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-03	38	14.4	1,409,787	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-07	38	14.44	1,411,274	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-08	38	14.44	1,412,761	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-09	38	14.44	1,414,248	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-10	38	14.33	1,414,948	700
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-13	38	14.33	1,416,435	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-14	38	14.08	1,417,922	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-15	38	14.11	1,418,722	800
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-16	38	14.2	1,419,722	1,000
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-17	38	14.19	1,421,209	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-20	38	13.88	1,421,809	600
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-21	38	13.92	1,423,209	1,400
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-22	38	13.9	1,423,509	300
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-24	38	13.97	1,424,996	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-27	38	13.95	1,425,896	900
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-28	38	13.9	1,427,383	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-29	38	13.76	1,428,870	1,487
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-29	38		1,406,087	-22,783
Yellow Pages Limited	Common Shares	Yellow Pages Limited	1	2021-09-30	38	13.75	1,406,787	700
Zadar Minerals Corp.	Common Shares	Tommasi, Mark	4	2021-03-12	00			
Zadar Minerals Corp.	Common Shares	Tommasi, Mark	4	2021-03-12	00			
Zadar Minerals Corp.	Common Shares	Tommasi, Mark	4	2021-03-12	00			
ZEN Graphene Solutions Ltd.	Common Shares	DubO, Francis Jacques	4	2021-10-04	10	4.85	736,309	5,000
ZEN Graphene Solutions Ltd.	Common Shares	Fenton, Gregory	4	2021-10-04	10	4.86	2,522,825	20,700
ZEN Graphene Solutions Ltd.	Common Shares	Fenton, Gregory	4	2021-10-04	10	4.83	2,532,825	10,000
ZoomerMedia Limited	Common Shares	Hamilton, Dan	5	2019-10-04	00			
ZoomerMedia Limited	Common Shares	Hamilton, Dan	5	2021-04-21	51		200,000	200,000
ZoomerMedia Limited	Options	Hamilton, Dan	5	2021-04-21	51		1,300,000	-200,000
ZoomerMedia Limited	Common Shares	Znaimer, Moses	3, 4, 5	2021-04-21	51		6,850,000	5,000,000
ZoomerMedia Limited	Options	Znaimer, Moses	3, 4, 5	2021-04-21	51		15,000,000	-5,000,000
ZoomerMedia Limited	Options	Znaimer, Moses	3, 4, 5	2021-10-07	99		5,000,000	-10,000,000



## Chapter 11

# IPOs, New Issues and Secondary Financings

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### INVESTMENT FUNDS

**Issuer Name:**

EdgePoint Monthly Income Portfolio  
Principal Regulator – Ontario

**Type and Date:**

Preliminary Simplified Prospectus dated Oct 7, 2021  
NP 11-202 Preliminary Receipt dated Oct 7, 2021

**Offering Price and Description:**

-

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3286466

**Issuer Name:**

AGFiQ US Market Neutral Anti-Beta CAD-Hedged ETF  
Principal Regulator - Ontario

**Type and Date:**

Amendment #1 to Final Long Form Prospectus dated  
October 1, 2021

NP 11-202 Final Receipt dated Oct 5, 2021

**Offering Price and Description:**

-

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3115068

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**Issuer Name:**

MLD Core Fund  
PK Core Fund  
Purpose Biotech ETF  
Purpose Floating Rate Income Fund  
Purpose Gold Bullion Fund  
StoneCastle Global Tactical Asset Allocation Fund  
Principal Regulator – Ontario

**Type and Date:**

Combined Preliminary and Pro Forma Simplified  
Prospectus dated Oct 4, 2021  
NP 11-202 Final Receipt dated Oct 6, 2021

**Offering Price and Description:**

-

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3267251

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**Issuer Name:**

Franklin Brandywine Global Sustainable Income Optimiser  
Active ETF

Franklin ClearBridge Sustainable Global Infrastructure  
Income Active ETF

Franklin ClearBridge Sustainable International Growth  
Active ETF

Franklin Martin Currie Sustainable Emerging Markets  
Active ETF

Franklin Martin Currie Sustainable Global Equity Active  
ETF

Principal Regulator - Ontario

**Type and Date:**

Amended and Restated to Final Long Form Prospectus  
dated October 6, 2021

NP 11-202 Final Receipt dated Oct 7, 2021

**Offering Price and Description:**

-

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3218566

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**Issuer Name:**

Lysander-18 Asset Management Canadian Equity Fund  
Principal Regulator - Ontario

**Type and Date:**

Amendment #1 to Final Simplified Prospectus dated  
October 4, 2021  
NP 11-202 Final Receipt dated Oct 5, 2021

**Offering Price and Description:**

-

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

Project #3137162

**Issuer Name:**

Franklin ClearBridge Sustainable Global Infrastructure  
Income Fund  
Franklin Martin Currie Sustainable Emerging Markets Fund  
Franklin ClearBridge U.S. Sustainability Leaders Fund  
Principal Regulator - Ontario

**Type and Date:**

Amended and Restated to Final Simplified Prospectus  
dated October 6, 2021  
NP 11-202 Final Receipt dated Oct 8, 2021

**Offering Price and Description:**

-

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

**Project #3218448**

---

**Issuer Name:**

Goodwood Capital Fund  
Principal Regulator - Ontario

**Type and Date:**

Amendment #1 to Final Simplified Prospectus dated  
October 4, 2021  
NP 11-202 Final Receipt dated Oct 6, 2021

**Offering Price and Description:**

-

**Underwriter(s) or Distributor(s):**

N/A

**Promoter(s):**

N/A

**Project #3208216**

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NON-INVESTMENT FUNDS

**Issuer Name:**

Arizona Sonoran Copper Company Inc.  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Long Form Prospectus dated October 5, 2021  
NP 11-202 Preliminary Receipt dated October 6, 2021

**Offering Price and Description:**

\$\*  
\* Common Shares  
\$\* per Offered Share

**Underwriter(s) or Distributor(s):**

RBC DOMINION SECURITIES INC.  
HAYWOOD SECURITIES INC.

**Promoter(s):**

-

**Project #3285858**

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**Issuer Name:**

Aurania Resources Ltd.  
Principal Regulator - Ontario

**Type and Date:**

Amendment dated October 5, 2021 to Preliminary Short  
Form Prospectus dated October 4, 2021  
NP 11-202 Preliminary Receipt dated October 6, 2021

**Offering Price and Description:**

\$6,003,000.00  
3,335,000 Units  
PRICE: \$1.80 PER UNIT

**Underwriter(s) or Distributor(s):**

CANTOR FITZGERALD CANADA CORPORATION  
CANACCORD GENUITY CORP.  
ECHELON WEALTH PARTNERS INC.

**Promoter(s):**

Keith Barron

**Project #3285199**

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**Issuer Name:**

Collective Mining Ltd.  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Shelf Prospectus dated October 5, 2021  
NP 11-202 Preliminary Receipt dated October 5, 2021

**Offering Price and Description:**

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

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

ARI SUSSMAN

**Project #3285578**

**Issuer Name:**

Mayo Lake Minerals Inc.  
Principal Regulator - Ontario

**Type and Date:**

Amendment dated October 6, 2021 to Preliminary Long  
Form Prospectus dated July 7, 2021

NP 11-202 Preliminary Receipt dated October 7, 2021

**Offering Price and Description:**

Minimum Offering: \$650,000.00  
Maximum Offering: \$1,500,000.00 Up to 7,000,000 FT  
Units

Price per FT Unit: \$0.15 Up to 12,500,000 Units Price per  
Unit: \$0.12

**Underwriter(s) or Distributor(s):**

Stephen Avenue Securities Inc.

**Promoter(s):**

Vernon Rampton

**Project #3247793**

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**Issuer Name:**

PC 1 Corp.  
Principal Regulator - Ontario

**Type and Date:**

Preliminary CPC Prospectus dated October 1, 2021  
NP 11-202 Preliminary Receipt dated October 5, 2021

**Offering Price and Description:**

Minimum Offering: \$200,000.00 or 2,000,000 Common  
Shares  
Maximum Offering: \$500,000.00 or 5,000,000 Common  
Shares

Price: \$0.10 per Common Share

**Underwriter(s) or Distributor(s):**

Research Capital Corporation

**Promoter(s):**

-

**Project #3285352**

**Issuer Name:**

Q4 Inc.  
Principal Regulator - Ontario

**Type and Date:**

Amendment dated October 7, 2021 to Preliminary Long Form Prospectus dated June 10, 2021  
NP 11-202 Preliminary Receipt dated October 7, 2021

**Offering Price and Description:**

C\$150,000,000.00

\* Common Shares

Price: C\$ \* per common share

**Underwriter(s) or Distributor(s):**

CIBC WORLD MARKETS INC.  
NATIONAL BANK FINANCIAL INC.  
CREDIT SUISSE SECURITIES (CANADA), INC.  
CANACCORD GENUITY CORP.  
RAYMOND JAMES LTD.  
RBC DOMINION SECURITIES INC.  
STIFEL NICOLAUS CANADA INC.  
TD SECURITIES INC.  
INFOR FINANCIAL INC.

**Promoter(s):**

-

**Project #3226772**

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**Issuer Name:**

Starlight U.S. Residential Fund  
Principal Regulator - Ontario

**Type and Date:**

Preliminary Long Form Prospectus dated October 4, 2021  
NP 11-202 Preliminary Receipt dated October 5, 2021

**Offering Price and Description:**

Maximum: US\$197,600,000.00 of Class A Units and/or Class C Units and/or Class D Units and/or Class E Units and/or Class F Units and/or Class G Units and/or Class U Units

Price: C\$10.00 per Class A Unit

C\$10.00 per Class C Unit

C\$10.00 per Class D Unit

US\$10.00 per Class E Unit

C\$10.00 per Class F Unit

US\$10.00 per Class G Unit

US\$10.00 per Class U Unit

**Underwriter(s) or Distributor(s):**

CIBC WORLD MARKETS INC.

**Promoter(s):**

STARLIGHT GROUP PROPERTY HOLDINGS INC.

**Project #3285267**

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**Issuer Name:**

Cenovus Energy Inc.  
Principal Regulator - Alberta

**Type and Date:**

Final Shelf Prospectus dated October 7, 2021  
NP 11-202 Receipt dated October 7, 2021

**Offering Price and Description:**

US\$5,000,000,000.00

Debt Securities

Common Shares

Preferred Shares

Subscription Receipts

Warrants

Share Purchase Contracts

Units

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

-

**Project #3282590**

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**Issuer Name:**

Copperleaf Technologies Inc.  
Principal Regulator - British Columbia

**Type and Date:**

Final Long Form Prospectus dated October 6, 2021  
NP 11-202 Receipt dated October 6, 2021

**Offering Price and Description:**

\* COMMON SHARES

\$125,000,000.00

Price: \$\* per Offered Share

**Underwriter(s) or Distributor(s):**

MERRILL LYNCH CANADA INC.  
BMO NESBITT BURNS INC.  
CIBC WORLD MARKETS INC.  
RBC DOMINION SECURITIES INC.  
CANACCORD GENUITY CORP.  
CORMARK SECURITIES INC.

**Promoter(s):**

-

**Project #3279315**

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**Issuer Name:**

Fairfax Financial Holdings Limited  
Principal Regulator - Ontario

**Type and Date:**

Final Shelf Prospectus dated October 8, 2021  
NP 11-202 Receipt dated October 8, 2021

**Offering Price and Description:**

Cdn\$8,000,000,000.00  
Subordinate Voting Shares  
Preferred Shares  
Debt Securities  
Subscription Receipts  
Warrants  
Units

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

-

**Project #3284764**

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**Issuer Name:**

Headwater Exploration Inc. (formerly Corridor Resources Inc.)

Principal Regulator - Alberta

**Type and Date:**

Final Short Form Prospectus dated October 8, 2021  
NP 11-202 Receipt dated October 8, 2021

**Offering Price and Description:**

\$204,750,000.00  
45,000,000 Common Shares  
Price: \$4.55 per Common Share

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

-

**Project #3282691**

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**Issuer Name:**

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

**Type and Date:**

Amendment dated October 4, 2021 to Final Shelf  
Prospectus dated May 6, 2021  
NP 11-202 Receipt dated October 5, 2021

**Offering Price and Description:**

C\$100,000,000.00  
COMMON SHARES  
PREFERRED SHARES  
DEBT SECURITIES  
WARRANTS  
SUBSCRIPTION RECEIPTS  
UNITS

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

Pradyum Sekar  
Kashaf Qureshi  
**Project #3208155**

**Issuer Name:**

Softchoice Corporation  
Principal Regulator - Ontario

**Type and Date:**

Final Short Form Prospectus dated October 8, 2021  
NP 11-202 Receipt dated October 8, 2021

**Offering Price and Description:**

C\$150,007,500.00  
5,085,000 Common Shares  
Price: C\$29.50 per Common Share

**Underwriter(s) or Distributor(s):**

TD SECURITIES INC.  
GOLDMAN SACHS CANADA INC.  
CIBC WORLD MARKETS INC.  
RBC DOMINION SECURITIES  
NATIONAL BANK FINANCIAL  
SCOTIA CAPITAL INC.  
BMO NESBITT BURNS INC.  
ATB CAPITAL MARKETS INC.  
CORMARK SECURITIES INC.  
LAURENTIAN BANK SECURITIES INC.  
CANACCORD GENUITY CORP.  
RAYMOND JAMES LTD.

**Promoter(s):**

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**Project #3282795**

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**Issuer Name:**

The Very Good Food Company Inc.  
Principal Regulator - British Columbia

**Type and Date:**

Amendment dated October 5, 2021 to Final Shelf  
Prospectus dated September 30, 2021  
NP 11-202 Receipt dated October 6, 2021

**Offering Price and Description:**

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

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

-

**Project #3261589**

**Issuer Name:**

TransAlta Renewables Inc.  
Principal Regulator - Alberta

**Type and Date:**

Final Shelf Prospectus dated October 6, 2021  
NP 11-202 Receipt dated October 6, 2021

**Offering Price and Description:**

1,000,000,000.00  
Common Shares  
Preferred Shares  
Warrants  
Subscription Receipts  
Debt Securities

**Underwriter(s) or Distributor(s):**

-

**Promoter(s):**

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**Project #3283201**

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**Issuer Name:**

Woodbridge Ventures II Inc.  
Principal Regulator - Ontario

**Type and Date:**

Final CPC Prospectus dated October 4, 2021  
NP 11-202 Receipt dated October 5, 2021

**Offering Price and Description:**

\$500,000.00  
5,000,000 Common Shares  
Price: \$0.10 per Common Share

**Underwriter(s) or Distributor(s):**

CANACCORD GENUITY CORP.

**Promoter(s):**

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**Project #3258603**

## Chapter 12

# Registrations

### 12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
Name Change	From: CBRE CALEDON CAPITAL MANAGEMENT INC.  To: CBRE Investment Management Infrastructure Inc.	Portfolio Manager and Exempt Market Dealer	September 22, 2021
New Registration	Equifaira Private Securities Inc.	Exempt Market Dealer	October 8, 2021

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## Chapter 13

# SROs, Marketplaces, Clearing Agencies and Trade Repositories

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### 13.1 SROs

#### 13.1.1 Investment Industry Regulatory Organization of Canada (IIROC) – Housekeeping Rule Changes to the IIROC Rules – Notice of Commission Deemed Approval

##### NOTICE OF COMMISSION DEEMED APPROVAL

##### HOUSEKEEPING RULE CHANGES TO THE IIROC RULES

##### INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

The Ontario Securities Commission did not object to the classification of IIROC's proposed housekeeping rule changes to the IIROC Rules (Amendments). As a result, the Amendments are deemed to be approved and will become effective on December 31, 2021.

In addition, the Alberta Securities Commission, the Autorité des marchés financiers, the British Columbia Securities Commission, the Financial and Consumer Affairs Authority of Saskatchewan, the Financial and Consumer Services Commission of New Brunswick, the Manitoba Securities Commission, the Northwest Territories Office of the Superintendent of Securities, the Nova Scotia Securities Commission, the Nunavut Securities Office, the Office of the Superintendent of Securities, Service Newfoundland and Labrador, the Office of the Yukon Superintendent of Securities, and the Prince Edward Island Office of the Superintendent of Securities did not object to the Amendments.

A copy of the IIROC Notice of Approval/Implementation, including text of the approved Amendments, can be found at [www.osc.ca](http://www.osc.ca).

## 13.2 Marketplaces

### 13.2.1 GLMX Technologies, LLC – Application for Exemptive Relief – Notice of Commission Order

**GLMX TECHNOLOGIES, LLC (GLMX)**  
**APPLICATION FOR EXEMPTIVE RELIEF**  
**NOTICE OF COMMISSION ORDER**

On October 6, 2021, the Commission issued an order under s. 15.1 of National Instrument 21-101 *Marketplace Operation* (**NI 21-101**), s. 12.1 of National Instrument 23-101 *Trading Rules* (**NI 23-101**), and s. 10 of National Instrument 23-103 *Electronic Trading and Direct Access to Marketplaces* (**NI 23-103**) and, together with NI 21-101 and NI 23-101, the **Marketplace Rules**) exempting GLMX from the application of all provisions of the Marketplace Rules in British Columbia, Alberta, Nova Scotia, Ontario and Quebec, subject to terms and conditions as set out in the order (the **Order**).

The Order is consistent with CSA Staff Notice 21-328 *Regulatory Approach to Foreign Marketplaces Trading Fixed Income Securities* (**CSA SN 21-328**)<sup>1</sup> that outlines an exemption approach that is based on a substituted compliance model of ATS oversight.

A copy of the Order is published in Chapter 2 of this Bulletin.

The Commission published GLMX's application and draft Order for comment on August 12, 2021 on the OSC website. A comment letter was received from TMX Group Limited which is also available on the OSC website. We summarize below the main comments and Staff's responses.

#### *Comment*

The commenter raised concerns about the equivalence of regulatory regimes in the home jurisdiction of a foreign marketplace as well as an absence of reciprocity between Canadian and foreign regulators. The commenter believes this creates an "unlevel playing field" among foreign and domestic marketplaces serving Canadian marketplace participants, as well as a competitive disadvantage for Canadian marketplaces, including TMX Group. The commenter submitted that it is the regulatory authorities who are best placed to assess such equivalence between their own regimes and those of foreign jurisdictions rather than requiring each applicant to establish, on a case-by-case basis, such equivalence. The commenter disagrees with current approaches taken with respect to non-Canadian marketplaces doing business in Ontario as compared to the approach applied to domestic non-Ontario based marketplaces, and that the Commission should apply a mutual reliance model to other Canadian provincial regulators as a result.

#### *Response*

As noted in CSA Staff Notice 21-328, *Regulatory Approach to Foreign Marketplaces Trading Fixed Income Securities* (**21-328**), we are prepared to exempt a foreign ATS if it is subject to an appropriate regulatory and oversight regime in another jurisdiction by its home regulator, subject to any terms and conditions necessary to protect Canadian investors, and subject to terms and conditions allowing the Commission to have access to information on the operations of the foreign-based ATS and the trading activity of Canadian participants. While the foreign ATS is responsible for describing the regulatory requirements in its home jurisdiction and how it complies, the CSA reviews the foreign ATS's application and determines if it meets the criteria set out in 21-328. This is similar to the approach taken for foreign exchanges seeking exemption from recognition in Ontario and foreign ATSs seeking exemptions from regulatory requirements in Canadian jurisdictions, based on them being subject to a comparable regulatory regime in its home jurisdiction. The concept of reciprocity is not a factor in deciding whether to recognize or exempt a foreign exchange or exempt a foreign ATS from applicable regulatory requirements.

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<sup>1</sup> Published on March 5, 2020 and available at [https://www.osc.gov.on.ca/en/SecuritiesLaw\\_csa\\_20200305\\_21-328\\_foreign-marketplaces-trading-fixed-income-securities.htm](https://www.osc.gov.on.ca/en/SecuritiesLaw_csa_20200305_21-328_foreign-marketplaces-trading-fixed-income-securities.htm).

## Chapter 25

# Other Information

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### 25.1 Consents

#### 25.1.1 RG One Corp. – s. 4(b) of Ont. Reg. 289/00 under the OBCA

##### Headnote

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

##### Statutes Cited

Business Corporations Act, R.S.O. 1990, c. B.16, as am., s. 181.  
Securities Act, R.S.O. 1990, c. S.5, as am.

##### Regulations Cited

Regulation made under the Business Corporations Act, Ont. Reg. 289/00, as am., s. 4(b).  
Securities Act, R.S.O. 1990, c. S.5, as am.

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

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

**AND**

**IN THE MATTER OF  
RG ONE CORP.**

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

**UPON** the application of RG One Corp. (the “Applicant”) to the Ontario Securities Commission (the “Commission”) requesting the consent from the Commission to continue into the federal jurisdiction pursuant to subsection 4(b) of the Regulation;

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

**AND UPON** the Applicant representing to the Commission that:

1. The Applicant is an offering corporation under the OBCA.
2. The Applicant’s authorized share capital consists of an unlimited number of common shares, of which 39,350,001 were issued and outstanding as of May 28, 2021. The common shares of the Applicant are not listed for trading on any stock exchange.
3. The Applicant intends to apply (the “**Application for Continuance**”) to the Director of the OBCA for authorization to continue under the Canada Business Corporations Act, R.S.C. 1985, c. C-44 (the “**CBCA**”) pursuant to section 181 of the OBCA (the “**Continuance**”).
4. The principal reason for the Continuance is to leverage the increased flexibility provided under the provisions of the CBCA and is a condition the Applicant’s business combination with Flow Water Inc.
5. The material rights, duties and obligations of a corporation governed by the CBCA are substantially similar to those of a corporation governed by the OBCA.

## Other Information

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6. The Applicant is an offering corporation under the OBCA and is a reporting issuer under the Securities Act, R.S.C. 1985, c. C-44 as amended (the "**Act**") and the securities legislation of British Columbia and Alberta (the "**Legislation**"). The Applicant intends to remain a reporting issuer in the provinces of Ontario, British Columbia and Alberta following the Continuance.
7. The Commission is currently the Applicant's principal regulator.
8. The Applicant is not in default under any provision of the OBCA, Act or Legislation, including the regulations made thereunder.
9. The Applicant is not subject to any proceeding under the OBCA, Act, or Legislation.
10. The Applicant's management information circular dated April 8, 2021 for its annual general and special meeting of holders of the Applicant's common shares (the "**Shareholders**"), held on May 7, 2021 (the "**Shareholders' Meeting**"), described the proposed Continuance and disclosed the reasons for it and its implications. It also disclosed full particulars of the dissent rights of the Shareholders under section 185 of the OBCA.
11. The Shareholders approved the proposed Continuance at the Shareholders' Meeting by a special resolution that was approved by 100% of the votes cast; no Shareholders exercised dissent rights pursuant to section 185 of the OBCA.
12. Subsection 4(b) of the Regulation requires the Application for Continuance to be accompanied by a consent from the Commission.

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

**THE COMMISSION HEREBY CONSENTS** to the continuance of the Applicant as a corporation under the OBCA.

**DATED** at Toronto on this 2nd day of July, 2021.

"Craig Hayman"  
Commissioner  
Ontario Securities Commission

"Cecilia William"  
Commissioner  
Ontario Securities Commission

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