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Chapter 1

Notices

1.1 Notices

1.1.1 Notice of Ministerial Approval of Amendments to National Instrument 44-102 Shelf Distributions

**NOTICE OF MINISTERIAL APPROVAL OF
AMENDMENTS TO
NATIONAL INSTRUMENT 44-102 *SHELF DISTRIBUTIONS***

The Ontario Minister of Finance recently approved amendments (the **Rule Amendments**) made by the Ontario Securities Commission to the following rule:

- National Instrument 44-102 *Shelf Distributions* (**NI 44-102**)

The Rule Amendments, as well as corresponding changes to Companion Policy 44-102 *Shelf Distributions* (the **CP Change**), were published in Chapter 5 of the Bulletin on June 4, 2020. The same material is being published today in Chapter 5 of this Bulletin. The Rule Amendments and the CP Change become effective on August 31, 2020.

1.1.2 Notice of Ministerial Approval of Amendments to National Instrument 21-101 Marketplace Operation

**NOTICE OF MINISTERIAL APPROVAL OF
AMENDMENTS TO
NATIONAL INSTRUMENT 21-101 MARKETPLACE OPERATION**

August 27, 2020

On August 7, 2020, the Minister of Finance approved amendments (the **Rule Amendments**) made by the Ontario Securities Commission (**OSC** or the **Commission**) to National Instrument 21-101 *Marketplace Operation*. The Rule Amendments were made by the Commission on May 28, 2020.

On May 28, 2020, the Commission also adopted changes (the **Policy Changes**) to Companion Policy 21-101CP *Companion Policy to National Instrument 21-101 Marketplace Operation*.

The Rule Amendments and the Policy Changes (collectively, the **Amendments**) were published on the OSC website at <https://www.osc.gov.on.ca> and in the OSC Bulletin at (2020), 43 OSCB 4579 on June 4, 2020. The Amendments come into force on August 31, 2020. The text of the Amendments is reproduced in Chapter 5 of this Bulletin.

1.1.3 CSA Staff Notice 31-359 – OBSI Joint Regulators Committee Annual Report for 2019

Canadian Securities
AdministratorsAutorités canadiennes
en valeurs mobilières

CSA Staff Notice 31-359

OBSI Joint Regulators Committee Annual Report for 2019

August 27, 2020

Introduction

This notice is being published jointly by the Canadian Securities Administrators (**CSA**), the Investment Industry Regulatory Organization of Canada (**IIROC**) and the Mutual Fund Dealers Association of Canada (**MFDA**) to serve as the Annual Report of the Joint Regulators Committee (**JRC**) of the Ombudsman for Banking Services and Investments (**OBSI**).

Members of the JRC are representatives from the CSA (in 2019, CSA designated representatives were from British Columbia, Alberta, Ontario and Québec) and the two self-regulatory organizations (**SROs**), IIROC and MFDA.

The JRC believes that a fair and effective independent dispute resolution service is important for investor protection in Canada and is vital to the integrity and confidence of the capital markets. The JRC supports a fair, accessible and effective OBSI dispute resolution process. The JRC meets regularly with OBSI to discuss governance and operational matters and other significant issues that could influence the effectiveness of the dispute resolution system.

The purpose of this notice is to provide an overview of the JRC and to highlight the major activities conducted by the JRC in 2019.

Background to Establishment of the JRC

In May 2014, amendments to National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (the **Amendments**) came into force requiring all registered dealers and advisers to make OBSI available to their clients as their dispute resolution service, except in Québec where the dispute resolution services administered by the Autorité des marchés financiers (**AMF**) would continue to apply. In Québec, the AMF provides dispute resolution services to those clients of all registered dealers and advisers who reside in Québec. The Québec regime remains unchanged and firms registered in Québec have to inform clients residing in Québec of the availability of the AMF's dispute resolution services. Investors in Québec are nevertheless entitled to use the services of OBSI for disputes that fall within OBSI's mandate, in lieu of the dispute resolution services provided by the AMF.

Memorandum of Understanding / Amendments: In conjunction with the passing of the Amendments, the CSA and OBSI signed a Memorandum of Understanding (**MOU**) which provides an oversight framework intended to ensure that OBSI continues to meet the standards set by the CSA.¹ The MOU also provides a framework for the CSA members and OBSI to cooperate and communicate constructively.

In 2015, the MOU was amended to include the AMF as a signatory,² with it joining all other CSA members. The amended MOU also clarifies certain provisions, including those relating to information sharing and the requirement for an independent evaluation of OBSI.³ In particular, the amendments: (1) clarify that the restriction on sharing of information in the MOU does not apply to information sharing relating to issues that appear likely to have significant regulatory implications, including issues that appear to affect multiple clients of one or more firms (referred to as **Systemic Issues**) and that OBSI will share information about individual complaints when it relates to Systemic Issues; and (2) require an independent evaluation of OBSI's operations and practices to commence within two years of the Amendments coming into force (that is, commencement by May 1, 2016) and every five years thereafter.

JRC Mandate: The CSA jurisdictions and OBSI agreed with the SROs to form the JRC with a mandate to:

- facilitate a holistic approach to information sharing and monitor the dispute resolution process with an overall view to promoting investor protection and confidence in the external dispute resolution system;
- support fairness, accessibility and effectiveness of the dispute resolution process; and

¹ The MOU sets out the standards that OBSI is expected to meet on: governance, independence and standard of fairness, processes to perform functions on a timely and fair basis, fees and costs, resources, accessibility, systems and controls, core methodologies, information sharing, and transparency.

² The AMF became a party to the MOU effective as of December 1, 2015.

³ To review the MOU, please see: <https://bit.ly/2DPY3Br> (English version) or <https://bit.ly/2Opq9YY> (French version).

- facilitate regular communication and consultation among JRC members and OBSI.

Overview of JRC Activities in 2019

In 2019, four regularly scheduled meetings were held in April, June, September and December. The JRC also held a meeting with OBSI's Board of Directors, and engaged with OBSI on an ad hoc basis. These meetings provided OBSI with an opportunity to update the JRC on specific matters as contemplated by the MOU.

The following matters were considered and advanced by the JRC:

1. **Systemic issues protocol:** Under the MOU, the Chair of OBSI is to inform the CSA Designates of any Systemic Issues. In 2015, the JRC finalized with OBSI a protocol to define potential Systemic Issues and to set out a regulatory approach to address these issues when reported by OBSI under the MOU. In 2019, no Systemic Issues were reported to the JRC by OBSI. Information on the OBSI and JRC Protocol for Handling Systemic Issues is available at: <https://bit.ly/2D3xJSy>.
2. **Continuous monitoring of OBSI quarterly reports, compensation refusals and settling for lower amounts than recommended by OBSI:** The JRC continues to monitor data on investment-related complaints, including compensation refusals and settlements below OBSI's recommendations, through the review of OBSI's quarterly reports. The JRC considers patterns and issues raised by the data. As in 2018, there were no compensation refusals in 2019. According to OBSI statistics for the fiscal years of 2018 and 2019, out of 316 cases that ended with monetary compensation, there were 23 cases (approximately 7%) that were settled below OBSI recommendations involving 15 firms. About 70% of these cases involved recommendations over \$50,000 with an average settlement rate at about 62%. Of the 15 firms, four firms settled below OBSI's recommended amount more than once. Overall, in 2018 and 2019, clients received approximately \$1.04 million less than what OBSI recommended. This is an area of concern for the JRC.

The JRC will continue to monitor for complaint trends and patterns, including refusals to compensate clients consistent with OBSI recommendations, or repeatedly settling for lower amounts than recommended by OBSI. The JRC believes this data can sometimes provide risk-based indications of potential problems with a firm's complaint handling practices, or raise questions about whether the firm is participating in OBSI's services in good faith or consistently with the applicable standard of care. Further, such patterns could suggest the possibility that the firm may not have implemented and maintained effective complaint handling procedures. As set out in Joint CSA Staff Notice 31-351, IIROC Notice 17-0229, MFDA Bulletin #0736-M *Complying with requirements regarding the Ombudsman for Banking Services and Investments (OBSI)*, the CSA or SROs may conclude that enquiries are appropriate if a firm shows a pattern of either refusing to compensate clients after recommendations by OBSI or settling for lower amounts than recommended by OBSI. CSA jurisdictions or SROs may pursue regulatory responses where warranted.

3. **Information on complaint handling:** For consistency of complaint handling information across various CSA member websites, the JRC is considering a review of the information currently available on each member's website.

The JRC also discussed IIROC's plan to conduct research with complainants⁴ outlined in its Strategic Plan.

4. **Monitoring of general inquiries and complaints:** The JRC continues to monitor and respond to general inquiries and complaints relating to OBSI received by the JRC members or through the JRC email address.
5. **Amendments to MFDA By-law No. 1, Section 24.A (Ombudservice) and IIROC Rule 9500 Alternative Dispute Resolution:** In 2019, the MFDA published for comment and received approval of the proposed amendments to MFDA By-law No. 1, Section 24.A (Ombudservice)⁵ and IIROC published for comment proposed amendments to IIROC Rule 9500 Alternative Dispute Resolution⁶. The purpose of these proposed amendments is to remove inconsistencies between their respective rules and OBSI's Terms of Reference in relation to information sharing by OBSI.

Overview of OBSI Activities

The following are a few of the initiatives that OBSI updated the JRC on:

1. **OBSI Video:** In 2019, OBSI released a video as part of their awareness campaign, and as a tool to inform customers and firms about OBSI's services. This video is available on OBSI's website at: <https://bit.ly/36SJtnT>.
2. **OBSI Seniors Report:** On July 18, 2019, OBSI published its first Seniors Report documenting the experiences of seniors using OBSI's services. The report shows that 38% of OBSI complainants were over the age of 60 and over half of these senior complainants report having household incomes below \$60,000. The report also includes types of complaints

⁴ IIROC Notice 19-0099, *IIROC's Three-Year Strategic Plan and Priorities for Fiscal 2020* (2019), <https://bit.ly/2UIGSAP>.

⁵ MFDA Bulletin #0800-P, *Approval of Proposed Amendment to MFDA By-Law No. 1, Subsection 24.A (Ombudservice)* (2019), <https://bit.ly/2GVg3uY>.

⁶ IIROC Notice 19-0181, *Proposed Amendments Respecting Disclosure of Information by Ombudsman Service to IIROC* (2019), <https://bit.ly/36QrGOk>.

received from seniors, case studies, observations and possible solutions to reduce challenges faced by seniors. A copy of the report is available at: <https://bit.ly/3bccq1J>.

3. **Firm Portal:** On September 26, 2019, OBSI announced the launch of a new Firm Portal that would provide OBSI's participating firms with web-based access to a broad range of features and services. Additional information about the features and services is available at: <https://bit.ly/3985Lnj>.
4. **Knowledge Management System:** In 2019, OBSI launched an internal knowledge management system for staff to share information and access key resources. Developing a business case for a knowledge management system was one of the recommendations in the 2016 report *Independent Evaluation of the Canadian Ombudsman for Banking Services and Investments' (OBSI) Investment Mandate*.
5. **OBSI's Loss Calculation Methodology Presentations:** As part of OBSI's broader outreach initiative, OBSI presented to several JRC members and their staff on OBSI's loss calculation methodology, which provided a good opportunity for JRC members and their staff to gain a better understanding about OBSI's loss calculation methodology and have a dialogue with OBSI.

JRC Meeting with OBSI's Board of Directors

As required by the MOU, an annual meeting of the JRC with OBSI's Board of Directors was held on December 5, 2019. The meeting included discussions on operating and governance issues and the effectiveness of OBSI's processes.

OBSI Annual Report

For additional information on OBSI, readers may wish to review OBSI's Annual Report for its fiscal year ending October 31, 2019, available at: <https://bit.ly/2Uho3gf>.

Comments

We appreciate the feedback received on previous years' annual reports from various stakeholders and welcome comments on this annual report and any matter relating to the JRC's oversight of OBSI. Please send your comments to: ContactJRC-CMOR@acvm-csa.ca.

Questions

Please refer your questions regarding this CSA Staff Notice to any of the following CSA staff:

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1.4 Notices from the Office of the Secretary

1.4.1 B

FOR IMMEDIATE RELEASE
August 19, 2020

**MATTER OF B,
File No. 2020-23**

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

A copy of the Reasons for Decision dated August 18, 2020 is available at www.osc.gov.on.ca.

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1.4.2 Majd Kitmitto et al.

FOR IMMEDIATE RELEASE
August 21, 2020

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

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

A copy of the Reasons for Decision on a Motion dated August 20, 2020 is available at www.osc.gov.on.ca.

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1.4.3 ESW Capital, LLC and Optiva Inc.

FOR IMMEDIATE RELEASE
August 21, 2020

**ESW CAPITAL, LLC and
OPTIVA INC.,
File No. 2020-26**

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

A copy of the Order dated August 21, 2020 is available at www.osc.gov.on.ca.

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Chapter 2

Decisions, Orders and Rulings

2.1 Decisions

2.1.1 I.G. Investment Management, Ltd.

Headnote

National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions – Application for relief from subsections 2.1(1), 2.2(1) and 2.5(2)(a), (a.1),(b), (c), and (f) of NI 81-102 in connection with the purchase of UK IPU.

Applicable Legislative Provisions

National Instrument 81-102 Investment Funds – ss. 2.1(1), 2.2(1), 2.5(2)(a), 2.5(2)(a.1), 2.5(2)(b), 2.5(2)(c), 2.5(2)(f) and 19.1.

Order No. 7526

August 5, 2020

**IN THE MATTER OF
THE SECURITIES LEGISLATION OF
MANITOBA AND ONTARIO
(the “Jurisdictions”)**

AND

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

AND

**IN THE MATTER OF
I.G. INVESTMENT MANAGEMENT, LTD.
(referred to as “IGIM” or the “Filer”)**

DECISION

Background

The securities regulatory authority or regulator in each of the Jurisdictions (the “**Decision Maker**”) has received an application from the Filer on behalf of BlackRock- IG Active Allocation Pool I, BlackRock- IG Active Allocation Pool II, BlackRock- IG Active Allocation Pool III (the “**Existing Funds**”) and any future mutual funds the Manager may launch that are sub-advised by BlackRock Asset Management Canada Limited or its affiliates (collectively with the Existing Funds, the “**Funds**”), for a decision under the securities legislation of the Jurisdictions (the “**Legislations**”) for an exemption pursuant to Section 19.1 of National instrument 81-102 *Investment Funds* (“**NI 81-102**”) from the prohibitions in:

(a) subsections 2.1(1), 2.2(1) and 2.5(2)(a), (a.1), (b), and (c) of NI 81-102 to permit the Funds to invest in securities of any mutual fund that is an exchange-traded fund (an “**ETF**”) that, but for the fact that they are listed on a stock exchange in the United Kingdom and not on a stock exchange in Canada or the United States, would otherwise qualify as “index participation units” (“**IPU**”) as defined in NI 81-102 (such ETF, a “**UK IPU**”); and

(b) subsection 2.5(2)(b) of NI 81-102 to allow other mutual funds managed by the Filer to invest in the Funds, which may invest more than 10% of the market value of their net assets in securities of UK IPU.

(the “**Exemption Sought**”)

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

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

(b) the Filer has provided notice that subparagraph 4.7(1) of Multilateral Instrument 11-102 *Passport System* (“MI 11-102”) is intended to be relied upon in British Columbia, Alberta, Saskatchewan, Quebec, New Brunswick, Nova Scotia, Prince Edward Island, Newfoundland and Labrador, Yukon, Nunavut and the Northwest Territories; 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 they are otherwise defined.

Representations

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

The Filer and the Funds

1. IGIM is a corporation continued under the laws of Ontario. It is or will be the trustee, the portfolio advisor and the manager of the Funds. The head office of the Manager is in Winnipeg, Manitoba.

2. IGIM is registered as a Portfolio Manager and an Investment Fund Manager in Manitoba, Ontario, and Quebec and as an Investment Fund Manager in Newfoundland and Labrador.
3. IGIM acts, or will act, as portfolio manager and investment fund manager of each of the Funds.
4. Each Fund is, or will be, an open-ended mutual fund governed by the laws of the province of Manitoba.
5. Each Fund distributes, or will distribute, its securities pursuant to simplified prospectus prepared pursuant to National Instrument 81-101 *Mutual Fund Prospectus Disclosure* (“**NI 81-101**”) and Form 81-101F1 *Contents of Simplified Prospectus* (“**Form 81-101F1**”), as applicable, and is, or will be, governed by the applicable provisions of NI 81-102, subject to any exemptions therefrom granted by the securities regulatory authorities.

Each Fund is, or will be, a reporting issuer in each of the provinces and territories of Canada, and sub-advised by BlackRock Asset Management Canada Limited or one of its affiliates.

6. IGIM and the Existing Funds are not in default of any of the requirements of securities legislation of any of the provinces and territories of Canada.
7. The investment objectives of the Existing Funds are to provide long-term capital appreciation by primary investing in, or gaining exposure to, equity and/or fixed income securities. In order to achieve its investment objectives each Existing Fund will invest primarily in ETFs.
8. BlackRock – IG Active Allocation Pool I targets a neutral mix of 40% fixed income and 60% equity. BlackRock – IG Active Allocation Pool II targets a neutral mix of 30% fixed income and 70% equity. BlackRock – IG Active Allocation Pool III targets a neutral mix of 20% fixed income and 80% equity. BlackRock – IG Active Allocation Pool I, BlackRock – IG Active Allocation Pool II and BlackRock – IG Active Allocation Pool III also each have the flexibility to invest all of their assets in any asset class.

The UK IPUs

9. Each UK IPU is, or will be, a “mutual fund” within the meaning of applicable Canadian securities legislation and an ETF traded on a stock exchange in the United Kingdom that is authorized by the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations, 2011, as amended by the European Union (Undertakings for Collective Investment in Transferable Securities) (Amendment) Regulations 2016, as may be amended or replaced (the “**UCITS Regulations**”). Each UK IPU therefore is, or will be, a “UCITS” and will therefore comply with UCITS Regulations.

10. The managers of the UK IPUs are subject to substantially equivalent regulatory oversight to IGIM, which is primarily regulated by the MSC.
11. Securities of each UK IPU are, or will be, offered in their primary market in a manner similar to the Funds pursuant to a prospectus for each investment company.
12. Each UK IPU is listed on the London Stock Exchange (“**LSE**”) and, in addition, may be listed on one or more additional stock exchanges.
13. The LSE is subject to regulatory oversight by the Financial Conduct Authority of the United Kingdom. The LSE is subject to substantially equivalent regulatory oversight to securities exchanges in Canada and the United States, and the listing requirements to be complied with by the UK IPUs are consistent with the listing requirements of the Toronto Stock Exchange.
14. The fundamental investment objective of each of the UK IPUs is, or will be, to seek to track the performance of an index, net of expenses, and to provide investors with a total return or net total return, taking into account both capital and income returns.
15. In replicating the performance of an index, a UK IPU may purchase securities of other mutual funds.
16. Each UK IPU achieves, or will achieve, its investment objective by holding the component securities of the applicable index or otherwise investing in securities in a manner that will enable the UK IPU to track the performance of the applicable index in accordance with the rules on eligible assets prescribed by the UCITS Regulations.
17. The index tracked by each UK IPU is, or will be, transparent, in that the methodology for the selection and weighting of index components is, or will be, publicly available. Details of the components of the index tracked by a UK IPU, such as issuer name and weighting within the index, are, or will be, publicly available by the applicable index provider and updated from time to time or when requested of the applicable index provider.
18. Each UK IPU will make, or will make, the net asset value of its holdings available to the public through at least one price information system associated with the stock exchange on which it is listed.
19. No UK IPU is a “synthetic ETF”, meaning that no UK IPU will principally rely on an investment strategy that makes use of swaps or other derivatives to gain an indirect financial exposure to the return of an index.
20. Each UK IPU is, or will be, an “investment fund” and a “mutual fund” within the meaning of applicable Canadian securities legislation.

21. The UK IPU are, or will be, subject to the following regulatory requirements:

- (a) each UK IPU is subject to a robust management framework through prescribed rules on governance, risk, regulation of service providers and safekeeping of assets;
- (b) each UK IPU is restricted to investments permitted by the UCITS Regulations and/or authorized by the Financial Conduct Authority / Central Bank of Ireland (including any exemptive relief obtained by the UK IPU's therefrom);
- (c) each UK IPU is subject to investment restrictions limiting its holdings of illiquid securities which are not listed on a stock exchange or regulated market to no more than 10% of the UK IPU's NAV;
- (d) each UK IPU is subject to investment restrictions limiting its holdings of other collective investment undertakings to no more than 10% of the UK IPU's net asset value ("**NAV**");
- (e) each UK IPU is subject to restrictions regarding the use of derivatives, including the types of derivatives in which it may transact, limits on counterparty risk, and limits on increases to overall market risk resulting from the use of derivatives;
- (f) each UK IPU is required to prepare a prospectus which discloses material facts, similar to the disclosure requirements under Form 41-101F2 and Form 81-101F1;
- (g) each UK IPU is required to prepare key investor information documents which provide disclosure that is substantially similar to the disclosure required to be included in the ETF facts document required by Form 41-101F4 *Information Required in an ETF Facts Document*;
- (h) each UK IPU is subject to continuous disclosure obligations which are similar to the disclosure obligations under National Instrument 81-106 -- *Investment Fund Continuous Disclosure*;
- (i) each UK IPU is required to update information of material significance in the prospectus, to prepare management reports and management reports and an audited set of financial statements annually; and
- (j) each UK IPU has a board of directors and a manager that are subject to a governance framework which sets out the

duty of care and standard of care, which require the board of directors of both the manager and the UK IPU to act in the best interest of security holders of the UK IPU.

Reasons for the Exemption Sought

22. The amount of the loss that can result from an investment by a Fund in a UK IPU will be limited to the amount invested by the Fund in the UK IPU's.

23. IGIM considers that investments by the Funds in UK IPU's provide an efficient and cost-effective, including in relation to withholding tax, means of obtaining exposure to the markets and asset classes in which the UK IPU's invest and achieving diversification and, in the case of certain UK IPU's, unique investment exposures. In particular, UK IPU's can provide a cost-effective way to achieve the Funds' desired allocations to various sectors, as well as desired exposure to certain countries, which in some cases may not be possible through reliance on North American ETFs alone due to the relative size of the ETFs and/or the makeup of the available ETFs.

24. Because the definition of IPU only includes securities that are traded on an exchange in Canada or the United States, in the absence of the Exemption Sought:

- (a) a Fund would not be able to rely upon the IPU exemption in paragraph 2.1(2)(d) of NI 81-102 from the concentration restriction in paragraph 2.1(1) to purchase or hold more than 10% of its net assets in securities of UK IPU's;
- (b) a Fund would not be able to rely upon the IPU exemption in paragraph 2.2(1.1)(b) of NI 81-102 from the control restriction in paragraph 2.2(1) to purchase or hold securities representing more than 10% of the votes attaching to the outstanding voting securities of a UK IPU or from purchasing securities of a UK IPU for the purpose of exercising control over or management of the UK IPU;
- (c) a Fund would not be able to rely upon the IPU exemption in paragraph 2.5(3)(a) of NI 81-102 from the investment restrictions in paragraphs 2.5(2)(a) and 2.5(2)(a.1) against purchasing or holding securities of the UK IPU unless the UK IPU is subject to NI 81-102 and National Instrument 81-101 *Mutual Fund Prospectus Disclosure*;
- (d) a Fund would not be able to rely upon the IPU exemption in paragraph 2.5(4)(b)(ii) of NI 81-102 from the investment restriction in paragraph 2.5(2)(b) against purchasing or holding securities of a Fund or a UK IPU unless at the time of the

purchase of that security, the Fund or UK IPU holds no more than 10% of the market value of its net assets in securities of other mutual funds; and

- (e) a Fund would not be able to rely upon the IPU exemption in paragraph 2.5(3)(a) of NI 81-102 from the investment restriction in paragraph 2.5(2)(c) against purchasing or holding securities of the UK IPU unless securities of the UK IPU were qualified for distribution in the local jurisdiction.

- 25. Each investment by a Fund in securities of a UK IPU will represent the business judgement of responsible persons uninfluenced by considerations other than the best interests of the Fund.
- 26. In respect of the Exemption Sought, similar exemptive relief has been granted previously. Examples of the decisions rendered are attached to this application.
- 27. The Exemption Sought is in the best interests of the Funds, is not prejudicial to the public interest or to securityholders of the Funds and is consistent with prior decisions of the securities regulatory authorities.

time it is renewed after the date of this decision, the fact that the Fund has obtained relief to invest in UK IPUs; and

- (e) in the event there is a significant change to the regulatory regime applicable to the UK IPUs that results in a less restrictive regulatory regime compared to the current regime and that has a material impact on the management or operation of the UK IPUs in which the Funds are invested, the Funds do not acquire any additional securities of such UK IPUs, and dispose of any securities of such UK IPUs in an orderly and prudent manner. The Exemption Sought will terminate six months after the coming into force of any amendments to NI 81-102 that restrict or regulate a Fund's ability to invest in UK IPUs.

"Chris Besko"
Director, General Counsel
The Manitoba Securities Commission

Decision

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

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

- (a) the investment by a Fund in securities of a UK IPU is made in accordance with the fundamental investment objectives of the Fund;
- (b) securities of the UK IPUs qualify as IPUs within the meaning of NI 81-102 but for the fact that they are trade on a stock exchange in the United Kingdom and not a stock exchange in Canada or the United States;
- (c) none of the UK IPUs are "synthetic ETFs", meaning that they will not principally rely on an investment strategy that makes use of swaps or other derivatives to gain an indirect financial exposure to the return of an index;
- (d) investments by a Fund in securities of one or more UK IPUs comply with NI 81-102 as if securities of the UK IPUs were IPUs within the meaning of NI 81-102;
- (d) the relevant offering documents of each Fund discloses, or will disclose the next

2.2 Orders

2.2.1 Horizons ETFs Management (Canada) Inc. and Horizons Global Risk Parity ETF

Headnote

National Policy 11-206 Process for Cease to be a Reporting Issuer Applications – Application for an order that a terminating exchange-traded fund is not a reporting issuer under applicable securities laws – relief granted.

Applicable Legislative Provisions

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

August 12, 2020

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
HORIZONS ETFS MANAGEMENT (CANADA) INC.
(the Filer)

AND

HORIZONS GLOBAL RISK PARITY ETF
(the Horizons Fund)

ORDER

Background

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

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

- (a) the Ontario Securities Commission is the principal regulator for this application, and
- (b) the Filer has provided notice that subsection 4C.5(1) of Multilateral Instrument 11-102 *Passport System (MI 11-102)* is intended to be relied upon in each of the other provinces and territories of Canada.

Interpretation

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

Representations

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

1. the Horizons Fund is not an OTC reporting issuer under Multilateral Instrument 51-105 *Issuers Quoted in the U.S. Over-the-Counter Markets*;
2. the outstanding securities of the Horizons Fund are beneficially owned, directly or indirectly, by fewer than 15 securityholders in each of the jurisdictions of Canada and fewer than 51 securityholders in total worldwide;
3. no securities of the Horizons Fund, including debt securities, are traded in Canada or another country on a marketplace as defined in National Instrument 21-101 *Marketplace Operation* or any other facility for bringing together buyers and sellers of securities where trading data is publicly reported;
4. the Filer is applying for an order that the Horizons Fund has ceased to be a reporting issuer in all of the jurisdictions of Canada in which the Horizons Fund is currently a reporting issuer; and
5. the Horizons Fund is not in default of securities legislation in any jurisdiction.

Order

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

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

“Darren McKall”
Investment Funds and Structured Products Branch
Ontario Securities Commission

2.2.2 Green Rise Capital Corporation – s. 9.1 of MI 61-101 and s. 6.1 of NI 62-104

Headnote

Section 6.1 of NI 62-104 and section 9.1 of MI 61-101 – Issuer bid-relief from requirements applicable to issuer bids in Part 2 of NI 62-104 and Part 3 of MI 61-101 – issuer proposes to repurchase a specified number of its shares from certain of its shareholders as part of a settlement agreement at a discount to market price – each of the selling shareholders is a related party of the issuer, but the repurchase is an exempt related party transaction under MI 61-101 – selling shareholders are former officers, directors and/or shareholders of the issuer or the issuer's predecessor entity and are well informed about the issuer and the value of the subject shares – issuer has received statements of support from disinterested shareholders in respect of the share repurchase holding a majority of the outstanding voting shares – the independent members of the issuer's board have unanimously determined that the repurchase is in the best interests of the issuer and its shareholders (other than the selling shareholders), will not adversely affect the issuer's financial position, and will not cause the market for the issuer's common shares to be materially less liquid than the market that currently exists – share repurchase is exempt from the requirements applicable to issuer bids in Part 2 of NI 62-104 and Part 3 of MI 61-101, subject to conditions, including that, at the time of the share repurchase, the purchase price thereunder, on a per share basis, is not greater than the market price of the issuer's shares, as determined in accordance with NI 62-104.

Applicable Legislative Provisions

Multilateral Instrument 61-101 Protection of Minority Security Holders in Special Transactions, Part 3 and s. 9.1.
National Instrument 62-104 Take-Over Bids and Issuer Bids, Part 2 and s. 6.1.

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

AND

**IN THE MATTER OF
GREEN RISE CAPITAL CORPORATION**

ORDER

**(Section 9.1 of Multilateral Instrument 61-101 and
Section 6.1 of National Instrument 62-104)**

UPON the application (the "**Application**") of Green Rise Capital Corporation (the "**Issuer**") to the Ontario Securities Commission (the "**Commission**") for an order pursuant to section 6.1 of National Instrument 62-104 *Take-Over Bids and Issuer Bids* ("**NI 62-104**") and section 9.1 of Multilateral Instrument 61-101 *Protection of Minority Security Holders in Special Transactions* ("**MI 61-101**") exempting the Issuer from the requirements applicable to issuer bids in Part 2 of NI 62-104 and Part 3 of MI 61-101 (the "**Issuer Bid Requirements**") in respect of the proposed purchase by the Issuer of an aggregate of 14,974,133 common shares of the Issuer (the "**Subject Shares**") owned by Galifi Inc. ("**Galifi Holdco**"), 851393 Ontario Ltd. ("**Tatomir Holdco**"), and 2626547 Ontario Limited ("**Linnell Holdco**"), and together with Galifi Holdco and Tatomir Holdco, the "**Selling Shareholders**");

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

AND UPON the Issuer having represented to the Commission that:

1. The Issuer is a corporation existing under the *Business Corporations Act* (Ontario) (the "**OBCA**") and is in good standing.
2. The head and registered office of the Issuer is located at 47 Colborne Street, Suite 301, Toronto, Ontario, M5E 1P8.
3. The Issuer is a reporting issuer in the Provinces of Ontario, British Columbia and Alberta, and is not in default of any requirement of the securities legislation in the jurisdictions in which it is a reporting issuer.
4. The authorized share capital of the Issuer consists of an unlimited number of common shares (the "**Common Shares**"). As of August 6, 2020, there were 59,896,535 Common Shares issued and outstanding. The Common Shares are listed for trading on the TSX Venture Exchange (the "**TSXV**") under the symbol "GRF".
5. The Issuer was a capital pool company incorporated for the purpose of effecting a qualifying transaction under the policies of the TSXV.
6. On September 30, 2019, the Issuer announced the closing of a reverse takeover with Bull Market Farms Inc. ("**Bull Market**") pursuant to a definitive agreement (the "**Acquisition Agreement**") dated March 1, 2019 and amended June 7, 2019, August 2, 2019 and September 30, 2019, that constituted its qualifying transaction (the "**Qualifying Transaction**").

7. In connection with the Qualifying Transaction, the Issuer:
 - (a) issued 30,000,000 Common Shares at a price of \$0.20 per share to Bull Market shareholders in consideration for the acquisition of Bull Market; and
 - (b) completed a non-brokered private placement of 18,343,000 subscription receipts (each, a “**Subscription Receipt**”) at a price of \$0.20 per Subscription Receipt on August 20, 2019, which Subscription Receipts automatically converted into 18,343,000 Common Shares upon the closing of the Qualifying Transaction (the “**Private Placement**”).
8. The Selling Shareholders are holding companies controlled by individuals who were directors and shareholders of Bull Market prior to the Qualifying Transaction. As a result of the Qualifying Transaction and pursuant to the Acquisition Agreement, the Selling Shareholders exchanged their common shares in Bull Market for an aggregate of 26,210,527 Common Shares, representing approximately 43.7% of the issued and outstanding Common Shares as of August 6, 2020, which are held as follows:
 - (a) Galifi Holdco, which is controlled by Vito Galifi, holds 12,631,579 Common Shares, representing approximately 21.1% of the issued and outstanding Common Shares;
 - (b) Tatomir Holdco, which is controlled by Matthew Tatomir, holds 7,263,159 Common Shares, representing approximately 12.1% of the issued and outstanding Common Shares; and
 - (c) Linnell Holdco, which is controlled by Scott Linnell, holds 6,315,789 Common Shares, representing approximately 10.5% of the issued and outstanding Common Shares.
9. Galifi Holdco is a company existing under the OBCA and is in good standing. Galifi Holdco has its registered office at 2835 California Avenue, Windsor, Ontario, N9E 3K3. Galifi Holdco is not a reporting issuer in any jurisdiction.
10. Tatomir Holdco is a company existing under the OBCA and is in good standing. Tatomir Holdco has its registered office at 21 Beniuk Court, Leamington, Ontario, N8H 5K9. Tatomir Holdco is not a reporting issuer in any jurisdiction.
11. Linnell Holdco is a company existing under the OBCA and is in good standing. Linnell Holdco has its registered office at 1145 Deerview Crescent, LaSalle, Ontario, N9J 0A7. Linnell Holdco is not a reporting issuer in any jurisdiction.
12. Under the terms of the Acquisition Agreement, the Issuer agreed to use commercially reasonable efforts to nominate Messrs. Galifi, Tatomir, and Linnell for election to the Issuer’s board of directors (the “**Board**”) at the Issuer’s 2020 annual and general meeting of shareholders held on July 8, 2020 (the “**Meeting**”).
13. At the Meeting, notwithstanding the nomination by the Board of Messrs. Galifi, Tatomir, and Linnell for election to the Board, Messrs. Galifi, Tatomir, and Linnell, as well as a fourth nominee of the Issuer, failed to win election to the Board as a result of nominations for election to the Board submitted at the Meeting of four individuals not named in the Issuer’s management information circular (the “**Floor Nominees**”).
14. Each of the Floor Nominees received votes in favour of their election from proxyholders holding proxies representing greater than a majority of the outstanding Common Shares, including Common Shares held by former shareholders of Bull Market who had received Common Shares in connection with the Qualifying Transaction. As a result, none of Messrs. Galifi, Tatomir, or Linnell were elected to the Board at the Meeting.
15. On July 10, 2020, the Issuer terminated the employment of Messrs. Tatomir and Linnell as employees of the Issuer and Bull Market.
16. Following the Meeting, the Selling Shareholders and Messrs. Galifi, Tatomir, and Linnell asserted certain claims of breach of the Acquisition Agreement and oppression against the Issuer. The Issuer has also asserted certain claims against the Selling Shareholders in connection with the Acquisition Agreement.
17. On July 23, 2020, the Issuer executed a settlement and mutual release agreement (the “**Settlement Agreement**”) with the Selling Shareholders, pursuant to which, subject to certain conditions:
 - (a) the Selling Shareholders agreed to sell all of the Common Shares held by them at a price of \$0.11 per Common Share (the “**Purchase Price**”); and
 - (b) the Issuer, Bull Market, each of the Selling Shareholders, Vito Galifi, Matthew Tatomir and Scott Linnell agreed to certain mutual releases.
18. Under the terms of the Settlement Agreement, the Issuer has agreed to repurchase the Subject Shares for cancellation (the “**Share Repurchase**”), with the other 11,236,394 Common Shares held by the Selling Shareholders but not

purchased by the Issuer (the “**Remaining Shares**”) being purchased by other parties at the Purchase Price.

19. As of August 6, 2020, the Subject Shares represented approximately 25.00% of the issued and outstanding Common Shares. Assuming completion of the Share Repurchase and the cancellation of the Subject Shares, the Issuer would have 44,896,535 Common Shares issued and outstanding.
20. The Share Repurchase forming part of the Settlement Agreement constitutes an “issuer bid” for the purposes of NI 62-104 and MI 61-101, to which the Issuer Bid Requirements would apply.
21. Section 4.7 of NI 62-104 provides an exemption from the Issuer Bid Requirements where the securities are acquired from a current or former employee, executive officer, director or consultant of the issuer or of an affiliate of the issuer and, if there is a published market in respect of the securities provided that (a) the value of the consideration paid for any of the securities acquired is not greater than the market price of the securities at the date of the acquisition, and (b) the aggregate number of securities acquired by the issuer within any period of 12 months in reliance on this exemption does not exceed 5% of the securities of the class outstanding at the beginning of the 12 month period (the “**Section 4.7 Exemption**”).
22. As of August 6, 2020, the Issuer has not purchased any Common Shares in reliance on the Section 4.7 Exemption. The Share Repurchase cannot be made in reliance upon the Section 4.7 Exemption as the Subject Shares represent greater than 5% of the Common Shares outstanding.
23. The Subject Shares will be purchased by the Issuer for cancellation at the Purchase Price per Common Share, which represents:
 - (a) an approximate 31.3% discount to the \$0.16 per Common Share closing price on July 23, 2020, being the date on which the Settlement Agreement was entered into;
 - (b) a 45% discount to the price at which Common Shares were issued pursuant to the Private Placement and the Qualifying Transaction, being \$0.20 per Common Share;
 - (c) an approximate 43.6% discount to the market price of \$0.195 per Common Share (as determined in accordance with NI 62-104) as of July 23, 2020; and
 - (d) a 50% discount to the market price of \$0.22 per Common Share as of the relevant time for the purposes of the market capitalization calculation in MI 61-101.
24. The Board has determined that the market for the Common Shares will not be materially less liquid than the market that currently exists for the Common Shares following the Share Repurchase. The Share Repurchase will have no impact on the liquidity of the Common Shares and the ability of holders of Common Shares (the “**Shareholders**”) to trade in Common Shares because
 - (i) all of the Subject Shares are held by insiders of the Issuer and are accordingly excluded from the Issuer’s public float;
 - (ii) the Common Shares owned by the Selling Shareholders are subject to the escrow agreement dated September 30, 2019, between the Issuer, TSX Trust Company and certain shareholders of the Issuer (the “**Escrow Agreement**”), with 25% of such Common Shares having been released from escrow (such released shares, the “**Released Shares**”) in accordance with the terms of the Escrow Agreement; and
 - (iii) the Released Shares will continue to be freely tradeable and will not be subject to escrow conditions.
25. Each of the Selling Shareholders is a “related party” of the Issuer and the Share Repurchase is a “related party transaction” for the purposes of MI 61-101.
26. Paragraph 5.5(b) of MI 61-101 (the “**Specified Markets Exemption**”) exempts related party transactions from the formal valuation requirement if no securities of the issuer are listed or quoted on the Toronto Stock Exchange, Aequitas NEO Exchange Inc., the New York Stock Exchange, the American Stock Exchange, the NASDAQ Stock Market, or a stock exchange outside of Canada and the United States other than the Alternative Investment Market of the London Stock Exchange or the PLUS markets operated by PLUS Markets Group plc. The Issuer is able to satisfy the Specified Markets Exemption and is relying on same in respect of the Share Repurchase.
27. Paragraph 5.7(1)(a) of MI 61-101 (the “**25% Market Cap Exemption**”) exempts related party transactions from the minority approval requirement if, at the time the transaction is agreed to, neither the fair market value of the subject matter of, nor the fair market value of the consideration for, the transaction, insofar as it involves interested parties, exceeds

25% of the issuer's market capitalization. The Share Repurchase is able to satisfy the conditions of the 25% Market Cap Exemption and accordingly, the Issuer is relying on same in respect of the Share Repurchase.

28. The members of the Board are independent directors within the meaning of MI 61-101 and they have unanimously determined, acting in good faith, that:
- (a) the Settlement Agreement and the Share Repurchase are in the best interests of the Issuer and its shareholders (other than the Selling Shareholders);
 - (b) the agreement of the Selling Shareholders to sell, and the repurchase by the Issuer of, the Subject Shares for the Purchase Price, on a per share basis, constitutes a valuable opportunity for the Issuer in consideration for the Issuer's settlement of its claims against the Selling Shareholders;
 - (c) the terms of the Settlement Agreement and the Share Repurchase are reasonable;
 - (d) the Share Repurchase will not materially affect control of the Issuer; and
 - (e) the Share Repurchase will not adversely affect the financial position of the Issuer and, upon cancellation, is expected to increase the value of the equity ownership positions of its other shareholders, including by increasing the per Common Share book value to \$0.145 from the March 31, 2020 value of \$0.136.
29. The Share Repurchase is an integral part of the Settlement Agreement. The terms of the Settlement Agreement were negotiated at arm's length with the Selling Shareholders and were not agreed to in order to give preferential treatment to the Selling Shareholders, either collectively or individually, or to provide a method for the Issuer to purchase the Subject Shares, but rather to facilitate the settlement of disputes and claims between the Selling Shareholders, the Issuer and the other parties to the Settlement Agreement, for the benefit of the Issuer and its shareholders.
30. As a result of the fact that no Shareholders other than the Selling Shareholders are parties to the Settlement Agreement, it is impossible for the Issuer to offer to acquire Common Shares from all Shareholders on the same terms and conditions as those contemplated by the Settlement Agreement.
31. Shareholders not offered the opportunity to sell their Common Shares to the Issuer as part of the Share Repurchase are otherwise entitled to sell their Common Shares into the market.
32. As former directors and shareholders of Bull Market prior to the Qualifying Transaction, and in the case of Messrs. Tatomir and Linnell, officers and directors of the Issuer prior to July 8, 2020, the Selling Shareholders are well informed about the Issuer and the value of the Subject Shares and do not require the protections of the Issuer Bid Requirements.
33. On July 27, 2020, the Issuer issued a press release (the "**July 27 Press Release**") announcing the Settlement Agreement and the intention of the Issuer to complete the Share Repurchase and cancel the Subject Shares, subject to the receipt of exemptive relief from the Issuer Bid Requirements from the Commission and the TSXV Approval (as defined below).
34. The Issuer has applied to the TSXV for approval to complete the Share Repurchase and to transfer the Remaining Shares, as required pursuant to the policies of the TSXV and the terms of the Escrow Agreement (the "**TSXV Approval**"). The Issuer expects to receive the TSXV Approval shortly following the issuance of this Order.
35. Other than the exemption from the Issuer Bid Requirements and the TSXV Approval, all third-party consents and approvals required by any of the Issuer or the Selling Shareholders in connection with the Settlement Agreement (including the Share Repurchase) have been obtained and have not been revoked.
36. Subsequent to the issuance of the July 27 Press Release:
- (a) the Board received statements of support from holders of 55.7% of the outstanding Common Shares not owned by the Selling Shareholders indicating that they were supportive of the Share Repurchase;
 - (b) the Issuer has not received any complaints or expressions of concern about the Share Repurchase; and
 - (c) the closing price of the Common Shares on the TSXV has remained above the Purchase Price on a per share basis.

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

IT IS ORDERED pursuant to section 6.1 of NI 62-104 and section 9.1 of MI 61-101 that the Issuer be exempt from the Issuer Bid Requirements in connection with the Share Repurchase, provided that:

- (a) at the time of the closing of the Share Repurchase, the Board remains of the view that the Settlement Agreement is in the best interests of the Issuer and its Shareholders (other than the Selling Shareholders) and that the terms of the Settlement Agreement are reasonable;
- (b) the Purchase Price, on a per share basis, is not greater than the market price (determined in accordance with NI 62-104) of the Common Shares;
- (c) prior to closing of the Share Repurchase, the Issuer issues and files a press release on SEDAR disclosing that the Issuer has been granted exemptive relief from the Issuer Bid Requirements in connection with the Share Repurchase;
- (d) at the time of the closing of the Share Repurchase, all third-party consents and approvals required by any of the Issuer or Selling Shareholders in connection with the Settlement Agreement (including the Share Repurchase) have been obtained and have not been revoked;
- (e) there are no approvals required in respect of the Settlement Agreement (including the Share Repurchase) that must be obtained at a meeting of Shareholders; and
- (f) the Subject Shares be included as Common Shares acquired by the Issuer in reliance on the Section 4.7 Exemption.

DATED at Toronto this 19th day of August, 2020.

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

2.2.3 ESW Capital, LLC and Optiva Inc. – s. 104

**IN THE MATTER OF
ESW CAPITAL, LLC**

AND

**IN THE MATTER OF
OPTIVA INC.**

File No. 2020-26

Timothy Moseley, Vice-Chair and Chair of the Panel
Wendy Berman, Vice-Chair
Frances Kordyback, Commissioner

August 21, 2020

ORDER

(Section 104 of the *Securities Act*, RSO 1990, c S.5)

WHEREAS on August 21, 2020, the Ontario Securities Commission held a hearing by videoconference in this application brought by ESW Capital, LLC (**ESW**) requesting an order granting exemptive relief from the requirement set forth in section 2.29.1(c) of National Instrument 62-104 – *Take-Over Bids and Issuer Bids* (the **Application**), to hear motions brought by EdgePoint Investment Group Inc. (**EdgePoint**) and Maple Rock Capital Partners (**Maple Rock**) regarding requests for intervenor status;

ON READING the motion records and submissions filed and on hearing the submissions of the representatives for ESW, Optiva Inc. (**Optiva**), EdgePoint, Maple Rock and Staff of the Commission (**Staff**);

IT IS ORDERED THAT:

1. the hearing of the Application shall commence at 10:00 a.m. on September 10, 2020, by videoconference and continue on September 11, 2020, or such other dates and times as agreed to by the parties and set by the Office of the Secretary;
2. pursuant to Rule 21(4) of the Commission's *Rules of Procedure and Forms*, (2019) 42 OSCB 9714, each of EdgePoint and Maple Rock is granted full intervenor status in the Application, including the right to adduce evidence, cross-examine witnesses and make oral and written submissions;
3. all direct evidence in the Application shall be adduced by way of affidavit;
4. Optiva, EdgePoint and Maple Rock shall file and serve their respective responding affidavits, if any, by no later than August 25, 2020;
5. ESW shall file and serve reply affidavits, if any, by no later than August 28, 2020;
6. all parties who file affidavit evidence shall make their affiants available for cross-examination by any adverse party at the hearing of the Application;

7. ESW shall serve and file written submissions and a book of authorities by no later than August 31, 2020;
8. Optiva, EdgePoint and Maple Rock shall file and serve their respective responding written submissions and books of authorities by no later than September 3, 2020;
9. ESW shall file and serve reply written submissions and book of authorities, if any, by no later than September 4, 2020; and
10. Staff shall file and serve written submissions and a book of authorities by no later than September 8, 2020.

"Timothy Moseley"

"Wendy Berman"

"Frances Kordyback"

2.2.4 Torstar Corporation – s. 1(6) of the OBCA

Headnote

Applicant deemed to have ceased to be offering its securities to the public under the Business Corporations Act (Ontario).

Statutes Cited

Business Corporations Act, R.S.O. 1990, c. B.16, as am., s. 1(6).

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

AND

IN THE MATTER OF
TORSTAR CORPORATION
(the Applicant)

ORDER
(Subsection 1(6) of the OBCA)

UPON the application of the Applicant to the Ontario Securities Commission (the **Commission**) for an order pursuant to subsection 1(6) of the OBCA to be deemed to have ceased to be offering its securities to the public;

AND UPON the Applicant representing to the Commission that:

1. The Applicant is an “offering corporation” as defined in subsection 1(1) of the OBCA.
2. The Applicant’s head office is located at One Yonge Street, 5th Floor, Toronto, Ontario, M5E 1E6.
3. The Applicant has an authorized capital consisting of an unlimited number of Class A shares, an unlimited number of Class B non-voting shares and 15,000,000 First Preference shares, of which 9,803,535 Class A shares; 71,615,373 Class B non-voting shares and nil First Preference shares are issued and outstanding as of the date hereof.
4. On August 5, 2020, NordStar Capital LP (the **Purchaser**) acquired all of the issued and outstanding shares of the Applicant pursuant to a plan of arrangement under section 182 of the OBCA (the **Arrangement**).
5. The Arrangement was approved by shareholders of the Applicant at a special meeting held on July 21, 2020.
6. The Arrangement was approved by the Ontario Superior Court of Justice (Commercial List) on July 27, 2020.

7. The Class B non-voting shares of the Applicant had been listed and posted for trading on the Toronto Stock Exchange (the **TSX**) under the symbol “TS.B”. The Class B non-voting shares were delisted from the TSX as at the close of trading on August 6, 2020. Prior to the completion of the Arrangement, the Class A shares of the Applicant were not listed on any marketplace.
8. As of the date of this order and as a result of the Arrangement, all of the outstanding shares of the Applicant are beneficially owned, directly or indirectly, by the Purchaser.
9. No other securities of the Applicant, including debt securities, are listed, traded or quoted 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.
10. The Applicant has no intention to seek public financing by way of an offering of securities.
11. The Applicant is a reporting issuer in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Quebec, New Brunswick, Nova Scotia, Prince Edward Island and Newfoundland and Labrador (the **Jurisdictions**).
12. On August 12, 2020, the Applicant was granted an order (the **Order**) pursuant to subclause 1(10)(a)(ii) of the *Securities Act* (Ontario) that it is not a reporting issuer in Ontario and is not a reporting issuer or the equivalent in any other jurisdiction of Canada in accordance with National Policy 11-206 *Process for Cease to be a Reporting Issuer Applications*.
13. The Applicant is not in default of any securities legislation in any Jurisdiction in Canada.

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

IT IS ORDERED by the Commission pursuant to subsection 1(6) of the OBCA, that the Applicant is deemed to have ceased to be offering its securities to the public.

DATED at Toronto on this 21st day of August, 2020.

“Ray Kindiak”
Commissioner
Ontario Securities Commission

“Mary Anne De Monte-Whelan”
Commissioner
Ontario Securities Commission

2.2.5 Investment Industry Regulatory Organization of Canada (IIROC) – s. 21.2.3

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

AND

IN THE MATTER OF
THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA

ORDER
(Section 21.2.3 of the Act)

WHEREAS Part 8 of National Instrument 21-101 *Marketplace Operation* (**NI 21-101**) requires persons or companies to provide to an information processor (**IP**) accurate and timely information regarding trades in corporate and government debt securities (together **Unlisted Debt Securities**) executed by or through the person or company, as required by the IP;

AND WHEREAS The terms used in this order are defined in the *Securities Act* (Ontario) and/or NI 21-101, as the case may be;

AND WHEREAS The Investment Industry Regulatory Organization of Canada (**IIROC** or the **Applicant**) has filed an application dated June 24, 2020 (**Application**) with the Ontario Securities Commission (**Commission**) requesting an order pursuant to subsection 21.2.3(1) of the Act designating IIROC as an IP for Unlisted Debt Securities;

AND WHEREAS the Applicant is currently the IP for corporate debt securities as permitted by a letter dated July 4, 2016 and has operated in compliance with the undertakings (**Undertakings**) contained in that letter;

AND WHEREAS the Applicant has filed Form 21-101F5 with respect to Unlisted Debt Securities;

AND WHEREAS subsection 21.2.3 of the Act allows the Commission to designate a person or company as an IP if the Commission considers it to be in the public interest;

AND WHEREAS the Applicant has represented to the Commission that:

1. The Applicant has the necessary systems in place to collect and disseminate information regarding trades in Unlisted Debt Securities;
2. The Applicant currently disseminates information regarding trades in corporate debt securities in a manner approved by the Canadian Securities Administrators (**CSA**);
3. The Applicant has sufficient financial and human resources to comply with the requirements applicable to an IP to collect and disseminate consolidated information regarding trades in Unlisted Debt Securities;
4. The Applicant will make available comprehensive information regarding trades in Unlisted Debt Securities to all market participants, including investors, at no cost; and
5. The Applicant has an appropriate governance structure and conflicts of interest policies and procedures in place;

AND WHEREAS, based on the Application, the Commission has determined that it is in the public interest to designate the Applicant as an IP for Unlisted Debt Securities;

IT IS ORDERED by the Commission that, pursuant to section 21.2.3 of the Act, the Applicant is designated as an IP for Unlisted Debt Securities, effective August 31, 2020,

PROVIDED THAT the Applicant complies with the terms and conditions contained in Schedule A.

DATED August 24, 2020

“Raymond Kindiak”

“Mary Anne De Monte-Whelan”

Schedule A

**TERMS AND CONDITIONS APPLICABLE TO
THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA
AS AN INFORMATION PROCESSOR FOR UNLISTED DEBT SECURITIES**

1. DEFINITIONS AND INTERPRETATION

“Bank” means a bank listed in Schedule I, II or III of the *Bank Act* (Canada);

“Data Contributor” means an IIROC Dealer Member that reports trades in debt securities to IIROC under IIROC Dealer Member Rule 2800C and a Bank;

“IIROC” means The Investment Industry Regulatory Organization of Canada;

“IIROC IP” means IIROC acting as an information processor;

2. PUBLIC INTEREST RESPONSIBILITIES

- (a) IIROC IP must conduct the business and operations of the designated IP for Unlisted Debt Securities in a manner that is consistent with the public interest.
- (b) IIROC IP must provide a written report to the Commission, as required by the Commission, describing how, as the designated IP for Unlisted Debt Securities, it is meeting its regulatory and public interest functions.

3. CHANGES TO FORM F5

- (a) As required by section 14.2 of NI 21-101, IIROC IP must file with the Commission amendments to the information provided in Form F5. IIROC IP must not implement a significant change to the information in its Form F5 without the prior approval of the Commission.
- (b) IIROC IP must file with Commission Staff all material contracts related to the IP services.

4. RESOURCES

- (a) IIROC IP must maintain sufficient financial resources to ensure its ability to conduct its operations.
- (b) IIROC IP must ensure that sufficient human resources are available and appropriately trained to enable IIROC IP to properly perform its functions, including monitoring the timeliness and accuracy of data concerning Unlisted Debt Securities reported to IIROC and displayed by IIROC IP.

5. PROVISION OF TRADE INFORMATION

- (a) IIROC IP must receive information from Data Contributors regarding trades executed by or through the Data Contributors no later than 10:00 p.m. on the same business day the trades were executed and in accordance with its Form F5.

6. FAIR AND REASONABLE TERMS

- (a) IIROC IP must ensure that all persons and companies are given access to IIROC IP on fair and reasonable terms.

7. FEES, FEE STRUCTURE AND REVENUE SHARING

- (a) IIROC IP must make available, on its website, the fee schedule for the dissemination of Unlisted Debt Securities.
- (b) IIROC IP must make available, on its website, any payment arrangements with Data Contributors.

8. DATA REPORTED TO AND DISSEMINATED BY IIROC IP

- (a) IIROC IP staff must monitor the timeliness and accuracy of information received by and disseminated by the IP on an ongoing basis and take adequate measures to resolve any data integrity issues on a timely basis.
- (b) Within 45 days from the end of each quarter, IIROC must provide Commission Staff quarterly reports on the timeliness and integrity of the information reported to and disseminated by IIROC IP, highlighting significant issues and proposed steps for resolution. These reports must include significant data integrity issues identified in the field examinations of Data Contributors conducted by IIROC.

9. REVIEW OF THE DISSEMINATION MODEL

- (a) On request by the Commission, IIROC IP must
 - (i) review the continuing adequacy of the publication delay for the Unlisted Debt Securities trade data made available by IIROC IP (T+1 5:00 pm ET), and
 - (ii) review the continuing adequacy of the volume caps applied to trade data in Unlisted Debt Securities by IIROC IP.
- (b) No later than 30 days following completion of the review, IIROC IP must file with the Commission the results of the review and any recommendations for changes to the publication delay or the volume caps.

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Chapter 3

Reasons: Decisions, Orders and Rulings

3.1 OSC Decisions

3.1.1 B – s. 17

Citation: *B (Re)*, 2020 ONSEC 21

Date: August 18, 2020

File No.: 2020-23

IN THE MATTER OF B

REASONS FOR DECISION (Section 17 of the *Securities Act*, RSO 1990, c S.5)

Hearing:	July 30, 2020	
Decision:	August 18, 2020	
Panel:	Timothy Moseley	Vice-Chair of the Commission
Appearances:	Robert Stellick	For the applicant B
	Rikin Morzaria	For Staff of the Commission

REASONS FOR DECISION

I. OVERVIEW

- [1] Staff of the Ontario Securities Commission is conducting an investigation, assisted by an order of the Commission made under s. 11 of the *Securities Act*¹ (the **Act**). Such orders (**Investigation Orders**) empower individuals named in the order to issue a summons, pursuant to s. 13 of the Act, to compel an individual to provide oral testimony under oath and to provide documentary evidence.
- [2] One such s. 13 summons has been directed to B, the applicant in this proceeding. B wishes to cooperate with Staff and wishes to testify in response to the summons. However, B is concerned that doing so would violate B's employment contract, which states that all matters relating to B's employment are confidential, and which does not explicitly provide a relevant exception.
- [3] B seeks direction from the Commission that testifying in response to the summons will not breach the employment contract. If the Commission cannot give that direction, then B intends to ask the Superior Court of Justice for that same assurance.
- [4] In order to apply to court, though, B would have to disclose to the court the existence of the investigation and the fact that B received a s. 13 summons. Section 16 of the Act prohibits B from doing so unless the Commission makes an order under s. 17 of the Act authorizing disclosure. B therefore seeks such an order.
- [5] Staff contends that B is required to answer the s. 13 summons, that B's employment contract is no impediment, and that the Commission should not contribute to a delay of B's examination by making the order that B requests.
- [6] Following a videoconference hearing of B's application, held in the absence of the public, I issued a confidential order authorizing B to disclose, on a confidential basis, such information as is necessary to commence a court application. The order provided that reasons for my decision were to follow. These are my reasons.
- [7] I conclude that the Commission does not have the authority to give B the requested direction. B must seek that assurance from the court. It is in the public interest to facilitate B's application by granting a s. 17 order.

¹ RSO 1990, c S.5

II. CONFIDENTIALITY

- [8] As noted above, the hearing of this application was held in the absence of the public.
- [9] The departure in this case from the usual practice of holding public hearings is authorized by s. 9(1)(b) of the *Statutory Powers Procedure Act*² and Rule 22 of the Commission's *Rules of Procedure and Forms (Rules)*³. Those provisions contemplate a balancing of the desirability that Commission proceedings be open to the public, against other factors.
- [10] In this case, the other factor is s. 16 of the Act, which achieves the important purpose of protecting the confidentiality of Investigation Orders and of information obtained pursuant to those orders.
- [11] To the extent that the balance favours confidentiality, the Commission may hold a hearing in the absence of the public, and documents submitted may be withheld from the public.
- [12] Hearing this application in public would have compromised the investigation, would have instantly defeated the confidentiality interest protected in B's employment contract, and would have rendered moot the issue at the heart of this application.
- [13] The need for confidentiality therefore outweighed the need for transparency. For that reason, I ordered that this application be heard in the absence of the public, and that all materials in relation to the hearing be kept confidential, pursuant to Rule 22 of the Rules and s. 2(2) of the *Tribunal Adjudicative Records Act, 2019*.⁴
- [14] Releasing these reasons publicly, without identifying information, achieves as much transparency as is possible without compromising the confidentiality interest described above.

III. ANALYSIS

- [15] I turn now to the two main issues on this application. Can the Commission give B the requested assurance? If not, is it in the public interest to grant the necessary order to allow B to seek that assurance in court?

A. Can the Commission grant the requested order pursuant to the Act directing that B may answer questions in an examination with Staff without violating B's employment agreement?

- [16] B's primary request is for an order pursuant to the Act directing that B may answer questions in an examination with Staff without violating the employment agreement. That request does not specify a section of the Act under which the Commission should make the requested order.
- [17] The Commission is a statutory tribunal with no inherent jurisdiction. It can order only what it is empowered to order.⁵ The Act contains no provision that provides the Commission with the kind of declaratory authority given to some courts by the *Courts of Justice Act*.⁶ Without such authority, the Commission cannot make binding declarations of right as between B and B's employer.
- [18] I reject B's submission that this tribunal's power to control its own process, granted by s. 25.0.1 of the *Statutory Powers Procedure Act*, provides a means for the Commission to give the requested assurance. That section empowers a tribunal to make orders relating to a "proceeding". At the hearing of this application, B's counsel rightly conceded that an Investigation Order does not commence a proceeding.
- [19] I also reject B's submission that I can give the requested assurance because the Commission must be able to control the entire enforcement process. For example, asks B, shouldn't the Commission be able to resolve disputes about appropriate questions on an examination conducted pursuant to a s. 13 summons?
- [20] That option might have some appeal for its efficiency. However, it is not provided for in the Act, it might well raise other questions about the tribunal's independence, and I was given no court or Commission decision that suggests it is available. In fact, s. 13(1) of the Act explicitly provides a different mechanism for resolving disputes about the propriety of questions put to a summonsed individual: "the refusal of a person to... answer questions... makes the person... liable to be committed for contempt by the Superior Court of Justice...".
- [21] Staff's right to bring a contempt application may be viewed by some as being more forceful than is warranted in response to a person's refusal to answer certain questions. Even if that is true, it is not a sufficient basis for me to create a less forceful alternative.
- [22] For these reasons, I dismissed B's request for directions.

² RSO 1990, c S.22

³ (2019), 42 OSCB 9714

⁴ SO 2019, c 7, Sch 60

⁵ *Amato (Re)*, 2015 ONSEC 16 at para 18

⁶ RSO 1990, c C.43, s 97

B. Is it in the public interest to authorize B to disclose to the Superior Court of Justice such information as is necessary to bring an application for directions?

[23] I will now address B's alternative request for relief; namely, an order pursuant to s. 17 of the Act, authorizing B to disclose such information as is necessary to permit B to bring an application in the Superior Court of Justice for directions.

[24] Staff opposes this request for three reasons:

- a. the order sought would unduly delay this and other investigations;
- b. no employment contract would be relevant to a person's obligation to answer questions pursuant to a s. 13 summons; and
- c. in any event, s. 154 of the Act provides that a person who discloses information to the Commission in good faith and in compliance with Ontario securities law does not thereby breach any contractual provision to which the person is subject.

[25] I reject all of these, as I explain below.

1. The requested s. 17 order would not unduly delay this or other investigations

[26] While Staff submitted that my granting the requested s. 17 order would unduly delay this and other investigations, Staff did not sufficiently explain how that would happen.

[27] Prior to the hearing of this application, Staff advised B's counsel that Staff intended to ask the Superior Court of Justice to find B in contempt if B continued to refuse to answer questions. It was evident at the time of the hearing of this application that Staff had not taken that step, but I heard no reason why Staff had not done so, or could not do so if it wished.

[28] I can speculate that Staff may think it inappropriate to bring a contempt application while B's application for directions is pending. However, Staff did not explicitly make that argument. Further, and understandably, neither Staff nor B's counsel could reliably predict how quickly either type of application would be resolved by a court.

[29] I see nothing that stands in the way of Staff proceeding as expeditiously as it thinks it should. Any argument that a contempt application ought to await B's application for directions necessarily presumes that B's concern is not frivolous. The issues B raises should be addressed by the court if the court sees fit to do so. It would not be in the public interest for me to prevent that inquiry.

[30] Staff also submits that authorizing disclosure here may delay other investigations, because others will want to follow B's path. I reject that submission. If the court resolves the interplay between the s. 13 summons and the employment contract, the question will have been answered, at least for those who are subject to similar confidentiality provisions.

2. Staff's submission that no employment contract would be relevant to a person's obligation to answer questions pursuant to a s. 13 summons

[31] Staff submits that it is not in the public interest to authorize disclosure pursuant to s. 17 of the Act, because the Act properly interpreted gives no basis to conclude that B's employment contract has any relevance to B's obligation to answer questions pursuant to the s. 13 summons.

[32] I reject that submission. I have already explained, in paragraphs [16] to [22] above, my conclusion that the Commission is not empowered to resolve that question directly. It would be inappropriate to invoke the public interest test in s. 17 of the Act to resolve that same question indirectly.

3. Does s. 154 of the Act, which provides that a person who discloses information to the Commission in good faith and in compliance with Ontario securities law does not thereby breach any contractual provision to which the person is subject, apply?

[33] Both Staff and B suggested that B might be protected by s. 154 of the Act, which states that the "disclosure of information to the Commission... that is made in good faith by a person... in compliance with Ontario securities law" does not constitute a breach of any contractual provision to which that person is subject. Staff submits that s. 154 solves the problem, obviating the need for an order authorizing disclosure to the court.

[34] I disagree. I was not persuaded that a person who answers questions in response to a s. 13 summons is doing so in compliance with "Ontario securities law", a term that is defined in s. 1(1) of the Act. The definition provides, in relevant part, that Ontario securities law includes the Act itself and, in respect of a person, a "decision" to which the person is subject. I deal with each of those two elements in turn.

(a) The Act

- [35] The Act does not, in any direct way, require that a person who receives a s. 13 summons answer questions in response to that summons.
- [36] The summonsed individual's obligation is indirect. The existence of the obligation is made explicit in the summons itself, and can be inferred from two portions of s. 13(1) of the Act:
- a. the words that empower a person appointed under an Investigation Order to "summon and enforce the attendance of any person and to compel him or her to testify on oath or otherwise"; and
 - b. words later in that subsection, which provide that "the refusal of a person to attend or to answer questions... makes the person liable to be committed for contempt".
- [37] Staff submits that compliance with a s. 13 summons is in substance compliance with s. 13(1) of the Act. Even if true, however, that submission obscures the binary question of whether a s. 13 summons can properly be described as being part of the Act.
- [38] B's obligation to answer questions does not arise directly under the Act. It arises as a result of a power exercised under the Act. The words "this Act" in the definition of "Ontario securities law" are clear. Effectively, Staff's submission would have me interpret those words to mean "this Act and any obligations that arise from the exercise of a power under this Act".
- [39] Such an interpretation would have many consequences. In the absence of clear legislative intent, I decline Staff's invitation to broaden the definition.

(b) A decision

- [40] Staff also submits that a s. 13 summons is part of Ontario securities law because it is a "decision" of the Commission.
- [41] Subsection 1(1) of the Act defines "decision" as follows:
- 'decision' means, in respect of a decision of the Commission or a Director, a direction, decision, order, ruling or other requirement made under a power or right conferred by this Act...
- [42] In written submissions, Staff contends that a s. 13 summons "falls within the definition of 'decision' if viewed as a Commission requirement made under a power or right conferred by this Act...".
- [43] There is some superficial appeal to Staff's submission, but I cannot accept it, for two reasons.
- [44] First, the ordinary meaning of the word "decision" connotes the weighing of factors, resulting in a choice among options. A summons does not naturally fit that definition. The linguistic contortion necessary to conclude that a summons is a decision would, in my view, require a clear expression of legislative intent. There is none here.
- [45] Second, while the words "requirement made under a power or right conferred by this Act" may seem to apply to a summons, those words cannot be viewed in isolation. They are qualified by the opening words of the definition, *i.e.*, "in respect of a decision of the Commission or a Director".
- [46] Can a s. 13 summons be said to be a decision "of the Commission"? Clearly not. The summons is not issued by the Commission. It is issued by a person who is named in an Investigation Order and who is thereby appointed to investigate the matters described in that order. Persons appointed need not even be a member of Staff of the Commission. To think of a s. 13 summons issued by such a person as a "decision of the Commission" is to stretch the phrase well beyond its breaking point.

4. Conclusion

- [47] B ought to have the opportunity to ask a court to resolve the interplay between the summons and the employment contract. There is no compelling reason to prevent B from doing that. For these reasons, I issued the confidential order under s. 17 of the Act permitting B to disclose the necessary information to the Ontario Superior Court of Justice, on a confidential basis.

Dated at Toronto this 18th day of August, 2020.

"Timothy Moseley"

3.1.2 Majd Kitmitto et al. – Rule 29 of OSC Rules of Procedure and Forms

Citation: *Kitmitto (Re)*, 2020 ONSEC 22

Date: August 20, 2020

File No. 2018-70

IN THE MATTER OF
MAJD KITMITTO,
STEVEN VANNATTA,
CHRISTOPHER CANDUSSO,
CLAUDIO CANDUSSO,
DONALD ALEXANDER (SANDY) GOSS,
JOHN FIELDING AND
FRANK FAKHRY

REASONS FOR DECISION ON A MOTION
(Rule 29 of the Ontario Securities Commission *Rules of Procedure and Forms* (2019) 42 OSCB 9714)

Hearing:	July 31, 2020	
Decision:	August 20, 2020	
Panel:	M. Cecilia Williams	Commissioner and Chair of the Panel
Appearances:	Katrina Gustafson Matthew Britton	For Staff
	Andrew Guaglio Ian Smith	For Majd Kitmitto
	Christopher Kostopoulos	For Steven Vannatta
	Janice Wright	For Frank Fakhry and Agent for Christopher Candusso and Claudio Candusso
	John Picone	For Donald Alexander (Sandy) Goss
	Frank Addario Lynda Morgan	For John Fielding

REASONS FOR DECISION ON A MOTION

I. OVERVIEW

- [1] The merits hearing in this proceeding was scheduled to begin on September 1, 2020.
- [2] Due to the COVID-19 pandemic the Commission has suspended in-person hearings until further notice, and hearings are being conducted either in writing, by teleconference or by videoconference.
- [3] At the final interlocutory attendance on July 31, 2020, Staff advised that all parties, except Goss, have reached an agreement regarding the presentation of evidence for some of Staff's witnesses. The agreement includes Staff presenting the evidence of their three investigators by affidavit and the adjournment of the start of the hearing to October 5, 2020.
- [4] After considering the parties' submissions, I ordered that:
- a further attendance in this proceeding be scheduled for August 7, 2020 by teleconference;
 - the merits hearing dates scheduled for September 1, 2, 3, 4, 8, 9, 10 and 11 are vacated and the previously ordered merits hearing dates remain as scheduled to be heard by videoconference;
 - Staff shall serve affidavits for Staff's investigator witnesses on the respondents by September 11, 2020; and
 - Staff shall file affidavits for Staff's investigator witnesses by September 25, 2020.
- [5] I advised that my reasons for that decision would follow. These are my reasons.

II. ANALYSIS

[6] The issues I need to decide are:

- a. is a motion for an adjournment required in this instance;
- b. do the parties need to meet the Rule 29(1) test that there are “exceptional circumstances” if they have agreed amongst themselves to adjourn the start of a merits hearing; and
- c. if the parties do need to establish that the circumstances are “exceptional”, have they done so in this case?

A. Is a motion for an adjournment required in this instance?

[7] Rule 29(2) of the Commission’s *Rules of Procedures and Forms*¹ provides that a party seeking an adjournment shall file and serve a motion.

[8] The parties’ proposed approach involves the adjournment of eight days of the merits hearing from September 1, 2020 to October 5, 2020. However, no motion for an adjournment was brought. I asked the parties to address why a motion was not necessary in this instance.

[9] Staff’s position is that such formality should be dispensed with in circumstances where the parties have agreed to the revised merits hearing schedule.

[10] Fakhry agrees with Staff’s position. Goss submits that their proposed approach does not involve an adjournment; rather it involves vacation of dates with the agreement of the parties.

[11] Fielding’s position is that the vacation of dates to allow Staff to provide a portion of its evidence by affidavit represented an agreed approach to address some of the respondents’ concerns about the merits hearing format. If a formal motion for adjournment were to be required to approve this agreed approach, the likely result would be a contested motion for adjournment of the merits hearing until an in person hearing would be possible.

[12] The objective of the Rules, as set out in Rule 1, is to ensure that Commission proceedings are conducted in a just, expeditious and cost-effective manner.

[13] While the parties to a proceeding may have views about how a proceeding should be conducted, it is important to remember that the Panel has an overarching responsibility to ensure that the objectives of the Rules are met.

[14] The Commission encourages cooperation and collaboration among parties to ensure that proceedings before the Commission are fair and efficient. However, the fact that the parties have agreed on a course of action does not mean the Rules do not apply nor does it relieve the Panel of its responsibilities.

[15] In this circumstance, I agree that a motion for an adjournment is not required. As is set out in Rule 3, a panel can waive the requirements in the Rules. The merits hearing is scheduled to commence in a month. The scheduling of a motion for an adjournment, when there is no dispute among the parties about the timing, would be unnecessarily burdensome as it would require the parties to prepare and file motion materials while continuing to prepare for the hearing itself. More importantly, for the reasons set out below, the adjournment in this instance is unlikely to cause a delay in the overall proceeding and is intended to contribute to the efficiency of the hearing.

[16] Therefore, I conclude that a waiver of the requirement for a formal motion for an adjournment is consistent with the objective of ensuring this matter is conducted in a just, expeditious and cost-effective manner.

B. Do the parties need to meet the Rule 29(1) test that there are “exceptional circumstances” if they have agreed amongst themselves to delay the start of a hearing?

[17] Staff’s position is that if “exceptional circumstances” was a hurdle that needed to be addressed, then the circumstances did meet the standard under Rule 29(1).

[18] Fakhry’s position is that the Rule 29(1) test of “exceptional circumstances” is usually applied when an adjournment request by a party is contested. This case, in Fakhry’s view, differs from a normal adjournment because the agreed approach reflects Staff’s willingness to move forward in a way that takes into consideration the respondents’ concerns about proceeding with a virtual hearing.

¹ (2019) 42 OSCB 9714 (the **Rules**)

- [19] In addition, Fakhry submits that, similar to Goss's position reflected at paragraph [10] above, this situation is more akin to vacating dates than adjourning a hearing. Fakhry cited, as an analogous example, when a hearing cannot continue as planned for a variety of reasons, such as witness availability, and dates are vacated.
- [20] I do not accept the proposition that the requirement to establish "exceptional circumstances" only applies where there is a contested motion to adjourn a hearing.
- [21] Rule 29(1) provides that "Every merits or sanctions hearing in an enforcement proceeding, and every hearing of a motion or application shall proceed on the scheduled date unless a Party satisfies the Panel that there are exceptional circumstances requiring an adjournment." There is nothing in the language of the Rule to suggest that the need to establish "exceptional circumstances" is only in those instances where the parties are not in agreement.
- [22] The Rules require that the Panel needs to be satisfied that there are "exceptional circumstances" warranting an adjournment. The fact that the parties have agreed to delay the start of a hearing does not relieve the Panel of its Rule 1 objectives or the parties of their obligation to satisfy the Panel that the delay is warranted under Rule 29(1). In this instance, the request of the parties constitutes an adjournment as the start of the hearing is not proceeding as scheduled.

C. If the parties do need to establish that the circumstances are "exceptional", have they done so in this case?

- [23] Having found that the test in Rule 29(1) applies I must now determine if the parties have met the threshold for "exceptional circumstances".
- [24] The Commission has ruled that the standard set out in Rule 29(1) is a "high bar" that reflects the Rule 1 objective, that Commission proceedings be conducted in a "just, expeditious and cost-effective manner".² This objective must be balanced against parties' ability to participate meaningfully in the hearing and present their case.³
- [25] Staff's position is that the circumstances are "exceptional". Staff submits that while proceeding virtually is feasible, it is not ideal to be introducing all of the evidence through videoconference. The agreement arrived at with the respondents, in Staff's view, is consistent with the objectives of the Rules as providing affidavit evidence for three investigator witnesses will greatly reduce the hearing time that needs to be dedicated to examination-in-chief of witnesses. Specifically, it eliminates eight days of live testimony without delaying the overall proceeding. Staff submits the time saved by eliminating those eight days is necessary to prepare, serve and file the very detailed affidavits for the three investigator witnesses in advance of the proposed first date of the merits hearing on October 5, 2020. In addition, in Staff's view, it is not anticipated that this approach will delay the overall hearing as the remaining, previously scheduled dates remain in place.
- [26] Fakhry's position is that, to the extent there is an exceptional test to be applied in this instance, the threshold is met by the pandemic and the creative response that the parties have arrived at in this instance to address concerns about proceeding with the merits hearing in a virtual format.
- [27] Generally, adjournments of merits hearings are only granted on an exceptional basis because they disrupt existing plans, consume resources unnecessarily, and/or (and often most significantly) delay the conclusion of the merits hearing. It is an exception when an adjournment effects no appreciable disruption.⁴
- [28] This proceeding is a complex, insider trading case involving multiple respondents and scheduled for 45 days that, of necessity due to the suspension of in-person hearings, is going to proceed, by videoconference.
- [29] The agreement to introduce the evidence of Staff's three investigators by affidavit will reduce the number of hearing days needed for testimony in-chief. Eliminating the eight initial days of the merits hearing to provide time to finalize, serve and file the affidavits is an efficient solution to allow the merits hearing to proceed. This approach is also not anticipated to delay the overall hearing, which will continue with the remaining, previously scheduled 37 days of merits hearing ending on December 11, 2020.
- [30] Therefore, I conclude that the circumstances are "exceptional" and the adjournment of the hearing to the previously scheduled date of October 5, 2020 is warranted.
- [31] There is one final point that warrants comment. The parties agreed to separate dates set for the serving and then filing of Staff's investigator affidavits, as reflected in my order dated July 31, 2020. While in the normal course the affidavits would be filed and served at the same time, I accepted this aspect of the parties agreed upon approach. The fact that the order contains a separation between the dates for service and filing of affidavit evidence was a procedural agreement of the parties in the unique circumstances of this case.

² *Pro-Financial Asset Management Inc (Re)*, 2018 ONSEC 18, (2018) 41 OSCB 3512 at para 28; *Money Gate Mortgage Investment Corporation (Re)*, 2019 ONSEC 40, (2020) 43 OSCB 35 (*Money Gate*) at para 54

³ *Money Gate* at para 54

⁴ *Paramount (Re)*, 2020 ONSEC 7 at para. 21

III. CONCLUSION

[32] For the reasons stated above, I made the July 31, 2020 order.

Dated at Toronto this 20th day of August, 2020.

“M. Cecilia Williams”

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
Enfield Exploration Corp.	August 18, 2020	
Future Farm Technologies Inc.	August 18, 2020	
Vatic Ventures Corp.	August 18, 2020	
Vert Infrastructure Ltd.	August 18, 2020	
Tantalex Resources Corporation	August 19, 2020	
Rapid Dose Therapeutics Corp.	August 19, 2020	
H-SOURCE HOLDINGS LTD.	July 21, 2020	August 19, 2020

4.2.1 Temporary, Permanent & Rescinding Management Cease Trading Orders

Company Name	Date of Order	Date of Lapse
Sproutly Canada, Inc.	August 20, 2020	

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		

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Chapter 5

Rules and Policies

5.1.1 Amendments to National Instrument 44-102 Shelf Distributions and Changes to Companion Policy 44-102CP Shelf Distributions relating to At-the-Market Distributions

AMENDMENTS TO NATIONAL INSTRUMENT 44-102 *SHELF DISTRIBUTIONS*

1. *National Instrument 44-102 Shelf Distributions is amended by this Instrument.*
2. *Part 9 is replaced with the following:*

PART 9 – AT-THE-MARKET DISTRIBUTIONS OF EQUITY SECURITIES UNDER SHELF

9.1 Definitions - In this Part,

“ATM prospectus” means

- (a) a base shelf prospectus for an at-the-market distribution,
- (b) a shelf prospectus supplement to a base shelf prospectus referred to in paragraph (a), or
- (c) a shelf prospectus supplement establishing an at-the-market distribution;

“investment dealer” has the meaning ascribed to it in National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*;

“marketplace” has the meaning ascribed to it in National Instrument 21-101 *Marketplace Operation*.

9.2 Provisions Not Applicable to an At-the-Market Distribution

- (1) The following provisions do not apply to an issuer distributing a security under an ATM prospectus:
 - (a) section 7.2 of NI 41-101;
 - (b) Item 20 of Form 44-101F1;
 - (c) item 8 of section 5.5 of this Instrument.
- (2) Item 8 of section 5.5 of this Instrument does not apply to an investment dealer acting as an underwriter in connection with a distribution of a security under an ATM prospectus.
- (3) The requirement to send or deliver a prospectus under securities legislation does not apply in connection with a distribution of a security under an ATM prospectus.

9.3 Requirements for Issuers and Underwriters Conducting an At-the-Market Distribution

- (1) An issuer must not distribute a security under an ATM prospectus as part of an at-the-market distribution unless the following apply:
 - (a) a security of the same class being distributed is listed and trading on a short form eligible exchange;
 - (b) the security being distributed is an equity security;
 - (c) the security being distributed is distributed through an investment dealer acting as an underwriter in connection with the distribution;
 - (d) with respect to any agreement with an investment dealer referred to in paragraph (c) to distribute the security, the issuer

- (i) has issued and filed a news release
 - (A) announcing that the issuer has entered into the agreement,
 - (B) indicating that an ATM prospectus has been or will be filed, and
 - (C) specifying where and how a purchaser of a security under the at-the-market distribution may obtain a copy of the agreement and the ATM prospectus, and
- (ii) has filed a copy of the agreement;
- (e) the issuer distributes the security through a marketplace;
- (f) if applicable, the issuer has disclosed that the completion of the distribution would constitute a material fact or material change;
- (g) the cover page of the base shelf prospectus states that it may qualify an at-the-market distribution;
- (h) the ATM prospectus states in substantially the following words:

“Securities legislation in some provinces and territories of Canada provides purchasers of securities with the right to withdraw from an agreement to purchase securities and with remedies for rescission or, in some jurisdictions, revisions of the price, or damages if the prospectus, prospectus supplement, and any amendment relating to securities purchased by a purchaser are not sent or delivered to the purchaser. However, purchasers of [describe securities] distributed under an at-the-market distribution by [name of issuer] do not have the right to withdraw from an agreement to purchase the [describe securities] and do not have remedies of rescission or, in some jurisdictions, revisions of the price, or damages for non-delivery of the prospectus, prospectus supplement, and any amendment relating to [describe securities] purchased by such purchaser because the prospectus, prospectus supplement, and any amendment relating to the [describe securities] purchased by such purchaser will not be sent or delivered, as permitted under Part 9 of National Instrument 44-102 *Shelf Distributions*.

Securities legislation in some provinces and territories of Canada further provides purchasers with remedies for rescission or, in some jurisdictions, revisions of the price or damages if the prospectus, prospectus supplement, and any amendment relating to securities purchased by a purchaser contains a misrepresentation. Those remedies must be exercised by the purchaser within the time limit prescribed by securities legislation. Any remedies under securities legislation that a purchaser of [describe securities] distributed under an at-the-market distribution by [name of issuer] may have against [name of issuer] or its agents for rescission or, in some jurisdictions, revisions of the price, or damages if the prospectus, prospectus supplement, and any amendment relating to securities purchased by a purchaser contain a misrepresentation will remain unaffected by the non-delivery of the prospectus referred to above.

A purchaser should refer to applicable securities legislation for the particulars of these rights and should consult a legal adviser.”;

- (i) if there has been a statement of a purchaser's rights contained in a previous version of the ATM prospectus, the issuer discloses in the current ATM prospectus a statement to the effect that, solely with regard to the at-the-market distribution, the statement of rights required to be included in the ATM prospectus, under paragraph (h), supersedes the previous statement;
- (j) the ATM prospectus states:

“No underwriter of the at-the-market distribution, and no person or company acting jointly or in concert with an underwriter, may, in connection with the distribution, enter into any transaction that is intended to stabilize or maintain the market price of the securities or securities of the same class as the securities distributed under the ATM prospectus, including selling an aggregate number or principal amount of securities that would result in the underwriter creating an over-allocation position in the securities.”;

- (k) the ATM prospectus includes the certificates required under Part 5 of NI 41-101, or other securities legislation in the form required under section 9.5 or 9.6 of this Instrument, as applicable;
 - (l) if the issuer is an investment fund, the ATM prospectus includes a statement that the at-the-market distribution will be conducted in accordance with paragraph 9.3(2)(a) of National Instrument 81-102 *Investment Funds*.
- (2) An underwriter of an at-the-market distribution, or a person or company acting jointly or in concert with the underwriter, must not, in connection with the distribution, enter into any transaction that is intended to stabilize or maintain the market price of the same class of securities distributed under the at-the-market distribution, including for greater certainty, trading a security that would result in the underwriter creating an over-allocation position in that class of securities.

9.4 Reporting

- (1) Subject to subsection (2), for each annual and interim period of the issuer during which the issuer distributes securities under an ATM prospectus, the issuer must, within 60 days after the end of the interim period or 120 days after the end of the annual period, as applicable, file a report, disclosing
- (a) the number and average price of the securities distributed under the ATM prospectus, and
 - (b) the aggregate gross and aggregate net proceeds raised, and the aggregate commissions paid or payable, under the ATM prospectus during the annual or interim period, as applicable.
- (2) Subsection (1) does not apply if, in each of its filed interim financial reports, annual financial statements, and management discussion and analysis, for the interim period or year, as applicable, following the distribution, the issuer discloses
- (a) the number and average price of the securities distributed under the ATM prospectus, and
 - (b) the aggregate gross and aggregate net proceeds raised, and the aggregate commissions paid or payable, under the ATM prospectus during the annual or interim period, as applicable.

9.5 Form of Certificates – Base Shelf Prospectus Establishing an At-the-Market Distribution

- (1) If a base shelf prospectus establishes an at-the-market distribution, an issuer certificate form required under paragraph 9.3(1)(k) must state the following:
- “This short form prospectus, together with the documents incorporated in this prospectus by reference, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by this prospectus and the supplement as required by the securities legislation of [insert name of each jurisdiction in which qualified].”
- (2) If a base shelf prospectus establishes an at-the-market distribution, an underwriter certificate form required under paragraph 9.3 (1)(k) must state the following:
- “To the best of our knowledge, information and belief, this short form prospectus, together with the documents incorporated in this prospectus by reference, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by this prospectus and the supplement as required by the securities legislation of [insert name of each jurisdiction in which qualified].”
- (3) For an amendment to a base shelf prospectus that includes the form of certificates required under subsections (1) and (2), if the amendment does not restate the base shelf prospectus,
- (a) the issuer certificate form must state the following:

“The short form prospectus dated [insert date] as amended by this amendment, together with the documents incorporated in this prospectus by reference, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by this prospectus and the supplement as

required by the securities legislation of [insert name of each jurisdiction in which qualified].”, and

- (b) the underwriter certificate form must state the following:

“To the best of our knowledge, information and belief, the short form prospectus dated [insert date] as amended by this amendment, together with the documents incorporated in this prospectus by reference, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by this prospectus and the supplement as required by the securities legislation of [insert name of each jurisdiction in which qualified].”

- (4) For an amended and restated base shelf prospectus, in respect of a base shelf prospectus that includes the certificates required under subsections (1) and (2),

- (a) the issuer certificate form must state the following:

“This amended and restated short form prospectus, together with the documents incorporated in this prospectus by reference, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by this prospectus and the supplement as required by the securities legislation of [insert name of each jurisdiction in which qualified].”, and

- (b) the underwriter certificate form must state the following:

“To the best of our knowledge, information and belief, this amended and restated short form prospectus, together with the documents incorporated in this prospectus by reference, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by this prospectus and the supplement as required by the securities legislation of [insert name of each jurisdiction in which qualified].”

9.6 Form of Certificates – Shelf Prospectus Supplement Establishing an At-the Market Distribution

- (1) If the form of certificate required under subsection 9.5(1) was not included in the corresponding base shelf prospectus, the issuer certificate form required under paragraph 9.3(1)(k) must, in a shelf prospectus supplement that establishes an at-the-market distribution, state the following:

“The short form prospectus, together with the documents incorporated in the prospectus by reference, as supplemented by the foregoing, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and the supplement as required by the securities legislation of [insert name of jurisdiction in which qualified].”

- (2) If the form of certificate required under subsection 9.5(2) was not included in the corresponding base shelf prospectus, the underwriter certificate form required under paragraph 9.3(1)(k) must, in a shelf prospectus supplement that establishes an at-the-market distribution, state the following:

“To the best of our knowledge, information and belief, the short form prospectus, together with the documents incorporated in the prospectus by reference, as supplemented by the foregoing, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and the supplement as required by the securities legislation of [insert name of jurisdiction in which qualified].”

- (3) For an amendment to a shelf prospectus supplement that includes the certificates required under subsections (1) and (2), if the amendment does not restate the shelf prospectus supplement,

- (a) the issuer certificate form must state the following:

“The short form prospectus, together with the documents incorporated in the prospectus by reference, as supplemented by the foregoing as it amends the shelf prospectus supplement dated [insert date], will, as of the date of a particular distribution of securities under the

prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and the supplement as required by the securities legislation of [insert name of jurisdiction in which qualified].”, and

- (b) the underwriter certificate form must state the following:

“To the best of our knowledge, information and belief, the short form prospectus, together with the documents incorporated in the prospectus by reference, as supplemented by the foregoing as it amends the shelf prospectus supplement dated [insert date], will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and the supplement as required by the securities legislation of [insert name of jurisdiction in which qualified].”

- (4) For an amended and restated shelf prospectus supplement in respect of a shelf prospectus supplement that includes the certificates required under subsections (1) and (2),

- (a) the issuer certificate form must state the following:

“The short form prospectus, together with the documents incorporated in the prospectus by reference, as supplemented by the foregoing, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and the supplement as required by the securities legislation of [insert name of jurisdiction in which qualified].”, and

- (b) the underwriter certificate form must state the following:

“To the best of our knowledge, information and belief, the short form prospectus, together with the documents incorporated in the prospectus by reference, as supplemented by the foregoing, will, as of the date of a particular distribution of securities under the prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the prospectus and the supplement as required by the securities legislation of [insert name of jurisdiction in which qualified].”.

3. Paragraph 9.3(1)(g) of National Instrument 44-102 *Shelf Distributions*, as enacted by section 2 of this Instrument, does not apply in respect of a base shelf prospectus if the prospectus was filed

- (a) before August 31, 2020, and
(b) for an at-the-market distribution in respect of which the issuer applied for and obtained an exemption from the requirement to send or deliver a prospectus.

4. (1) This Instrument comes into force on August 31, 2020.
(2) In Saskatchewan, despite subsection (1), if these regulations are filed with the Registrar of Regulations after August 31, 2020, these regulations come into force on the day on which they are filed with the Registrar of Regulations.

**CHANGES TO
COMPANION POLICY 44-102CP SHELF DISTRIBUTIONS**

1. **Companion Policy 44-102CP Shelf Distributions is changed by this Document.**
2. **The following Part is added:**

PART 5 AT-THE-MARKET DISTRIBUTIONS OF EQUITY SECURITIES UNDER SHELF

5.1 Purpose - The purpose of Part 9 of NI 44-102 is to provide exemptions from certain regulatory requirements, subject to conditions, so that issuers and underwriters may distribute securities under an ATM prospectus.

5.2 Disclosure of Intention to Qualify At-the-Market Distribution

- (1) Paragraph 9.3(1)(g) of Part 9 of NI 44-102 requires that an issuer disclose on the cover page of its base shelf prospectus that the prospectus may qualify an at-the-market distribution. An at-the-market distribution cannot be established by shelf prospectus supplement unless the base shelf prospectus has met this requirement. The securities regulatory authorities are of the view that a base shelf prospectus that is intended to qualify an at-the-market distribution may result in further review of certain factors that are considered during the review of a base shelf prospectus, such as the sufficiency of proceeds, an issuer's business or a recent reverse take-over of former shell companies. In connection with this review, the securities regulatory authorities may consider a number of factors, including
 - (a) the number of securities that may be qualified by the base shelf prospectus;
 - (b) the total number of issued and outstanding securities of the same class; and
 - (c) the trading volume of the securities of the same class.
- (2) An issuer should qualify the statements required by paragraphs 2 and 3 of section 5.5 of NI 44-102 in its base shelf prospectus to indicate that delivery is not required where an exemption from the delivery requirements referred to in these provisions is available.

5.3 Material Fact or Material Change

- (1) In determining whether a proposed distribution of securities under an ATM prospectus would constitute a material fact or material change under paragraph 9.3(1)(f) of NI 44-102, the issuer should take into account a number of factors including
 - (a) the parameters of the proposed distribution, including the number of securities proposed to be distributed and any price or timing restrictions that the issuer may impose with respect to the proposed distribution;
 - (b) the percentage of the outstanding securities of the same class that the number of securities proposed to be distributed represents;
 - (c) previous, and cumulative, distributions of securities under the ATM prospectus;
 - (d) whether the investment dealer has advised the issuer that the proposed distribution may have a significant impact on the market price of securities of the same class;
 - (e) trading volume and volatility of securities of the same class;
 - (f) recent developments in the business, operations or capital of the issuer; and
 - (g) prevailing market conditions generally.
- (2) The issuer will have an interest in minimizing the market impact of an at-the-market distribution. If a proposed distribution of securities under an ATM prospectus could have a significant impact on the market price of securities of the same class as the securities proposed to be distributed, the proposed distribution may disrupt a fair and orderly market. The investment dealer selected by the issuer will have experience and expertise in managing orders to limit any negative effect on market integrity. An

investment dealer is prohibited from engaging in conduct that may disrupt a fair and orderly market under IROC rules and standards of conduct.

- 5.4 Selling Agent** - It is best practice to include language in an ATM prospectus that a purchaser's rights and remedies under applicable securities legislation against the dealer underwriting or acting as an agent for the issuer in an at-the-market distribution will not be affected by that dealer's decision to effect the distribution directly or through a selling agent.
 - 5.5 Designated News Releases** - To ensure an ATM prospectus includes full, true and plain disclosure of all material facts related to the securities distributed under the ATM prospectus, the issuer may file a designated news release rather than filing a prospectus supplement or an amended prospectus. If an issuer disseminates a news release disclosing information that, in the issuer's determination, constitutes a "material fact", the issuer should identify the news release as a "designated news release" for the purposes of the ATM prospectus. This designation should be made on the face page of the version of the filed news release. An ATM prospectus should provide that any such designated news release will be deemed to be incorporated by reference into the ATM prospectus.
 - 5.6 Prospectus Certificates** - The certificates required to be filed under paragraph 9.3(1)(k) of NI 44-102 or other securities legislation in the forms required under sections 9.5 and 9.6 of NI 44-102, as applicable, are forward-looking certificates confirming that the ATM prospectus provides full, true and plain disclosure of all material facts relating to the securities distributed under the ATM prospectus as of the date of each distribution under an ATM prospectus. For promoters of an at-the-market distribution, the certificate of promoter required under Part 5 of NI 41-101 should be in the form required by section 9.5 or 9.6 of NI 44-102, as applicable.
 - 5.7 Filing Jurisdictions** - Issuers are required to file a prospectus in every jurisdiction where a distribution will occur. However, because purchases in an at-the-market distribution are made directly on a securities exchange, it is difficult to determine where a distribution will occur because issuers and dealers are unable to determine where a purchaser is located at the time of the trade. As a result, it is possible that a purchaser under an at-the-market distribution can be located in any jurisdiction of Canada.
 - 5.8 Transition Period** - An issuer with an outstanding base shelf prospectus filed prior to August 31, 2020 under which the issuer is qualified to make an at-the-market distribution pursuant to a discretionary relief order, will not be required to re-file the base shelf prospectus to comply with the cover page disclosure in paragraph 9.3(1)(g) of NI 44-102. Any other provisions of Part 9 of NI 44-102 that do not mirror the issuer's discretionary relief order may be addressed in the prospectus supplement.
3. These changes become effective on August 31, 2020.

5.1.2 National Instrument 21-101 Marketplace Operation and Companion Policy 21-101CP Marketplace Operation

**AMENDMENTS TO
NATIONAL INSTRUMENT 21-101 MARKETPLACE OPERATION**

1. **National Instrument 21-101 Marketplace Operation is amended by this Instrument.**
2. **Section 1.1 is amended by replacing the definition of “information processor” with the following:**

““information processor”,

 - (a) in every jurisdiction except for British Columbia, means any person or company that receives and provides information under this Instrument and has filed Form 21-101F5 and,
 - (b) in British Columbia, means a person or company that is designated as an information processor for the purposes of this Instrument;”.
3. **The title to Part 8 is replaced with “INFORMATION TRANSPARENCY REQUIREMENTS FOR PERSONS AND COMPANIES DEALING IN UNLISTED DEBT SECURITIES”.**
4. **Subsection 8.1(1) is amended by replacing “marketplace as required by” with “marketplace, as required by”.**
5. **Subsection 8.1(3) is repealed.**
6. **Subsection 8.1(4) is amended by replacing “inter-dealer bond broker as required by” with “inter-dealer bond broker, as required by”.**
7. **Subsection 8.1(5) is replaced with the following:**
 - (5) A person or company must provide to an information processor accurate and timely information regarding trades in government debt securities executed by or through the person or company, as required by the information processor.
8. **Subsection 8.2(1) is replaced with the following:**
 - (1) A marketplace that displays orders of corporate debt securities to a person or company must provide to an information processor accurate and timely information regarding orders for corporate debt securities displayed by the marketplace, as required by the information processor.
9. **Subsection 8.2(3) is replaced with the following:**
 - (3) A person or company must provide to an information processor accurate and timely information regarding trades in corporate debt securities executed by or through the person or company, as required by the information processor.
10. **Subsections 8.2(4) and 8.2(5) are repealed.**
11. **Section 8.3 is amended by replacing “an accurate consolidated feed in real-time” with “accurate consolidated information on a timely basis”.**
12. **Section 8.4 is amended by replacing “marketplace, inter-dealer bond broker or dealer” with “person or company”.**
13. **Subsection 14.4(1) is replaced with the following:**
 - (1) An information processor for exchange-traded securities must enter into an agreement with each marketplace that is required to provide information to the information processor which states that the marketplace will
 - (a) provide information to the information processor in accordance with Part 7 of this Instrument; and
 - (b) comply with any other reasonable requirements set by the information processor.
14. **Subsection 14.4 (4) is amended by replacing “marketplace, inter-dealer bond broker or dealer” with “person or company”.**
15. **Subsection 14.4(8) is repealed.**
16. **Subsection 14.4(9) is repealed.**

17. **Subparagraph 14.5(d)(ii) is amended by replacing the word “calendar” with “information processor’s financial”.**
18. **Subsection 14.7 is amended by replacing “marketplace, inter-dealer bond broker or dealer” with “person or company”.**
19. **Paragraph 14.8(b) is replaced with the following:**
- (b) in the case of an information processor for government debt securities or corporate debt securities,
 - (i) the marketplaces that report orders for corporate debt securities or government debt securities to the information processor, as applicable,
 - (ii) the inter-dealer bond brokers that report orders for government debt securities to the information processor,
 - (iii) the persons and companies that report trades in corporate debt securities or government debt securities to the information processor, as applicable,
 - (iv) when trades in each corporate debt security or government debt security, as applicable, must be provided to the information processor by a person or company,
 - (v) when the information provided to the information processor will be publicly disseminated by the information processor, and
 - (vi) the cap on the displayed volume of trades for each corporate debt security or government debt security, as applicable,.
20. **Subsection 14.8 is amended by deleting “and” at the end of paragraph (c), by adding “and” at the end of paragraph (d) and by adding the following paragraph:**
- (e) a list of the types of data elements relating to the order and trade information required to be provided under Part 7 or Part 8 of this Instrument.

Coming into force

21. (1) This Instrument comes into force on August 31, 2020.
- (2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after August 31, 2020, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

**CHANGES TO
COMPANION POLICY 21-101CP MARKETPLACE OPERATION**

1. **The changes to Companion Policy 21-101CP are set out in this Document.**

2. **Section 10.1 is replaced with:**

- (1) The requirements for pre-trade transparency of orders for unlisted debt securities set out in sections 8.1 and 8.2 of the Instrument have not been implemented by reason of the exception provided for in section 8.6 of the Instrument and the fact that no pre-trade requirements have been set by an information processor for corporate debt securities.
- (2) The requirements for post-trade transparency of trades in unlisted debt securities are set out in sections 8.1 and 8.2 of the Instrument. The detailed reporting requirements, determined by the Canadian securities regulatory authorities and implemented through the information processor, such as who must report information, deadlines for reporting, delays in publication of information and caps on displayed volume, are articulated in this companion policy and in Form 21-101F5. ,
- (3) Sections 8.1 and 8.2 of the Instrument require persons or companies executing trades in unlisted debt securities by or through that person or company to report these trades to the information processor. Specifically, such persons or companies are currently marketplaces, dealers, inter-dealer bond brokers and banks listed in Schedule I, II and III of the *Bank Act* (Canada).
- (4) The detailed reporting requirements for trades in unlisted debt securities include, but are not limited to, details as to the type of issuer, coupon and maturity, last traded price, last traded yield, date and time of execution, settlement date, the type of transaction, the volume transacted (subject to volume caps), as required by the information processor.
- (5) Details of the volume transacted will be subject to volume caps as follows:
 - (a) If the total par value of a trade of an investment grade corporate debt security is greater than \$2 million, the information processor will display it as "\$2 million+". If the total par value of a trade of a non-investment grade corporate debt security is greater than \$200,000, the information processor will display it as "\$200,000+".
 - (b) For government debt securities, the volume transacted will be displayed by the information processor in accordance with the chart below:

\$10M	\$5M	\$2M	250K
Government of Canada Bills (GoC Bills)	Government of Canada nominal bonds with over 10 years remaining to maturity (GoC>10)	All provincial debt securities including Real Return Bonds, Strip Coupons and Residuals	Québec municipal debt securities
Government of Canada nominal bonds with 10 or less years remaining to maturity (GoC <=10)		All municipal debt securities, except those issued in Québec	
		All other agency debt securities	
All Canada Mortgage Bonds (CMB)		Government of Canada Real Return Bonds	
		Government of Canada Strip Coupons and Residuals	

- (6) The information processor may propose changes to its transparency requirements by filing an amendment to Form 21-101F5 with the Canadian securities regulatory authorities pursuant to subsection 14.2(1) of the Instrument. The Canadian securities regulatory authorities will review the amendment to Form 21-101F5 to determine whether the proposed changes are contrary to the public interest, to ensure fairness and to ensure that there is an appropriate balance between the standards of transparency and market quality (defined in terms of market liquidity and efficiency) in each area of the market. Any initial transparency requirements and any proposed changes will be subject to consultation with market participants through a notice and comment process, prior to approval by the Canadian securities regulatory authorities.

3. **Section 10.2 is deleted.**
4. **Section 10.3 is replaced with:**

Consolidated Feed – Section 8.3 of the Instrument requires the information processor to produce accurate consolidated information on a timely basis showing the information provided to the information processor under sections 8.1 and 8.2 of the Instrument. The Canadian securities regulatory authorities have determined that information about trades in unlisted debt securities should be displayed by the information processor at 5:00 pm the day after the trade was executed by or through a person or company (T+1 at 5:00 pm ET).
5. **Subsection 16.1(2) is changed by replacing “marketplaces, inter-dealer bond brokers and dealers” with “persons and companies” and “marketplace, inter-dealer bond broker or dealer” with “person or company”.**
6. **Subsection 16.2(1) is changed by deleting “In Québec, a person or company may carry on the activity of an information processor only if it is recognized by the securities regulatory authority”.**
7. **Section 16.2 is changed by adding paragraph (4) “The specific authority of securities regulatory authorities to allow a person or company to act as an information processor for the purposes of the Instrument may differ, depending on the relevant legislative framework. For instance, in Québec, a person or company may carry on the activity of an information processor, only if it is recognized or exempted by the securities regulatory authority. In certain other jurisdictions, a person or company may be designated an information processor, subject to the relevant requirements in securities legislation or may otherwise be allowed to act as an information processor, if it is in the public interest”.**
8. **Paragraph 16.3(c) is changed by replacing “marketplaces, inter-dealer bond brokers and dealers” with “persons and companies”.**
9. **Paragraph 16.3(k) is replaced with:**
 - (k) in the case of an information processor for corporate debt securities or government debt securities, changes to the information referred to in paragraph 14.8(b) of the Instrument..
10. These changes become effective on August 31, 2020.

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Chapter 7

Insider Reporting

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

Guide to Codes

Relationship of Insider to Issuer (Rel'n)

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

Nature of Transaction (T/O)

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

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

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

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Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-17	38	2.0213	12,200	6,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-17	38		10,600	-1,600
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-18	38	2.0247	15,300	4,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-18	38		11,400	-3,900
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-19	38	1.9974	18,200	6,800
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-19	38		11,500	-6,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-20	38	2	12,000	500
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-20	38		7,300	-4,700
5N Plus Inc.	Common Shares	5N Plus Inc.	1	2020-08-21	38		500	-6,800
Abacus Mining & Exploration Corporation	Common Shares	Anderson, Paul Gordon	5	2020-08-14	11	0.1	1,813,000	13,000
Abacus Mining & Exploration Corporation	Common Shares	Anderson, Paul Gordon	5	2020-08-14	11	0.16	2,105,769	292,769
Abacus Mining & Exploration Corporation	Warrants	Anderson, Paul Gordon	5	2020-08-14	53	0.1	2,863,000	13,000
Abacus Mining & Exploration Corporation	Warrants	Anderson, Paul Gordon	5	2020-08-14	53	0.16	3,155,769	292,769
Abacus Mining & Exploration Corporation	Common Shares	McInnis, Michael D.	4	2020-08-19	11	0.16	1,463,581	292,581
Abacus Mining & Exploration Corporation	Warrants	McInnis, Michael D.	4	2020-08-19	11	0.22	846,290	146,290
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	51	7.4	37,587	1,013
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	51	7.11	39,637	2,050
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	51	7.46	43,237	3,600
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	51	9.16	45,112	1,875
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	10	15.49	44,099	-1,013
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	10	15.49	42,049	-2,050
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	10	15.45	38,449	-3,600
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	10	15.49	36,574	-1,875
Absolute Software Corporation	Common Shares	Ramsden, Leigh Palmer	5	2020-08-18	10	15.5	36,374	-200
Absolute Software Corporation	Options	Ramsden, Leigh Palmer	5	2020-08-18	51	7.4	11,462	-1,013
Absolute Software Corporation	Options	Ramsden, Leigh Palmer	5	2020-08-18	51	7.11	9,412	-2,050
Absolute Software Corporation	Options	Ramsden, Leigh Palmer	5	2020-08-18	51	7.46	5,812	-3,600
Absolute Software Corporation	Options	Ramsden, Leigh Palmer	5	2020-08-18	51	9.16	3,937	-1,875
Absolute Software Corporation	Common Shares	Toms, Sandra	5	2019-06-03	00			
Absolute Software Corporation	Common Shares	Toms, Sandra	5	2020-08-17	57		11,944	11,944
Absolute Software Corporation	Common Shares	Toms, Sandra	5	2020-08-17	10	15.08	0	-11,944
Absolute Software Corporation	Rights Restricted Share Unit	Toms, Sandra	5	2020-08-17	57		49,082	-11,944
Acerus Pharmaceuticals Corporation	Options	Sorli, Christopher Hutchins	5	2020-08-03	00			

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Acerus Pharmaceuticals Corporation	Options	Sorli, Christopher Hutchins	5	2020-08-12	50	0.0593	5,123,617	5,123,617
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class B Units	Boehner, John Andrew	4	2018-11-14	00			
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class B Units	Boehner, John Andrew	4	2020-03-13	36		360,107	360,107
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class C-1 Units	Boehner, John Andrew	4	2020-03-13	36		0	-625,000
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Rights Restricted Shares Units (RSU)	Daino, Robert James	5	2020-08-18	57		1,092,617	-346,802
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Subordinate Voting Shares	Daino, Robert James	5	2020-08-18	57	2.89	674,406	346,802
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Subordinate Voting Shares	Daino, Robert James	5	2020-08-18	10	2.89	504,556	-169,850
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Rights Restricted Shares Units (RSU)	Doherty, James	5	2020-08-18	57		1,034,284	-254,622
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Subordinate Voting Shares	Doherty, James	5	2020-08-18	57	2.89	355,725	254,622
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Subordinate Voting Shares	Doherty, James	5	2020-08-18	10	2.89	238,880	-116,845
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class B Units	Doherty, James	5	2018-11-14	00			
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class B Units	Doherty, James	5	2019-12-27	36		210,373	210,373
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class C-1 Units	Doherty, James	5	2019-12-27	36		0	-250,000
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Rights Restricted Shares Units (RSU)	Leibowitz, Glen	5	2020-08-18	57		1,034,284	-254,622
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Subordinate Voting Shares	Leibowitz, Glen	5	2020-08-18	57	2.89	316,664	254,622
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Subordinate Voting Shares	Leibowitz, Glen	5	2020-08-18	10	2.89	191,959	-124,705
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class B Units	Leibowitz, Glen	5	2018-11-14	00			
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class B Units	Leibowitz, Glen	5	2020-03-13	36		216,064	216,064

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Units High Street Capital Partners, LLC - Class C-1 Units	Leibowitz, Glen	5	2020-03-13	36		0	-375,000
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Rights Restricted Shares Units (RSU)	Murphy, Kevin Patrick	3, 4, 5	2020-08-18	57		787,917	-255,767
Acreage Holdings, Inc. (formerly Applied Inventions Management Corp.)	Subordinate Voting Shares	Murphy, Kevin Patrick	3, 4, 5	2020-08-18	57	2.89	618,490	255,767
AcuityAds Holdings Inc.	Restricted Share Units	Hayek, Tal	4, 5	2014-07-16	00			
AcuityAds Holdings Inc.	Restricted Share Units	Hayek, Tal	4, 5	2020-08-16	56		193,304	193,304
AcuityAds Holdings Inc.	Restricted Share Units	Kapcan, Rachel	5	2014-07-16	00			
AcuityAds Holdings Inc.	Restricted Share Units	Kapcan, Rachel	5	2020-08-16	56		182,254	182,254
AcuityAds Holdings Inc.	Restricted Share Units	Ontman, Joe	4, 5	2014-07-16	00			
AcuityAds Holdings Inc.	Restricted Share Units	Ontman, Joe	4, 5	2020-08-16	56		184,954	184,954
AcuityAds Holdings Inc.	Restricted Share Units	Pollack, Jonathan	5	2018-05-09	00			
AcuityAds Holdings Inc.	Restricted Share Units	Pollack, Jonathan	5	2020-08-16	56		97,129	97,129
ADCORE Inc.	Restricted Share Units	Sadot, Yatir	5	2019-09-04	00			
ADCORE Inc.	Restricted Share Units	Sadot, Yatir	5	2020-08-18	56		15,000	15,000
Advantage Oil & Gas Ltd.	Common Shares	Clague, Donald M.	4	2020-08-18	10	2.179	30,000	15,000
Adventus Mining Corporation	Common Shares	Small, Dustin Mark	5	2020-08-14	00		90,200	
Adventus Mining Corporation	Options	Small, Dustin Mark	5	2020-08-14	00		500,000	
Adventus Mining Corporation	Rights RSU	Small, Dustin Mark	5	2020-08-14	00		100,000	
Adventus Mining Corporation	Rights RSU	Wellings, Mark	4	2017-01-23	00			
Adventus Mining Corporation	Rights RSU	Wellings, Mark	4	2019-07-12	56		25,000	25,000
Ag Growth International Inc.	Common Shares	Anderson, Gary Keith	4	2020-08-17	10	37.14	0	-13,480
Ag Growth International Inc.	Common Shares	Anderson, Gary Keith	4	2020-08-13	10	37	41,938	-7,235
Ag Growth International Inc.	Common Shares	Anderson, Gary Keith	4	2020-08-14	10	36.72	19,838	-22,100
Ag Growth International Inc.	Common Shares	Anderson, Gary Keith	4	2020-08-17	10	37.14	6,718	-13,120
Ag Growth International Inc.	Common Shares	Sommerfeld, Steven Robert	5	2020-08-17	10	36.94	18,732	-7,435
Agnico Eagle Mines Limited	Common Shares	Laing, R. Gregory	5	2020-08-17	51	36.37	71,505	3,500
Agnico Eagle Mines Limited	Common Shares	Laing, R. Gregory	5	2020-08-17	10	109.64	68,005	-3,500
Agnico Eagle Mines Limited	Options	Laing, R. Gregory	5	2020-08-17	51	36.37	123,000	-3,500
Agnico Eagle Mines Limited	Common Shares	Sylvestre, Yvon	5	2020-08-17	51	56.45	11,522	10,000
Agnico Eagle Mines Limited	Common Shares	Sylvestre, Yvon	5	2020-08-17	10	109	1,522	-10,000
Agnico Eagle Mines Limited	Options	Sylvestre, Yvon	5	2020-08-17	51	56.45	80,000	-10,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	56.45	3,887	2,500
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	58.04	4,137	250
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	55.1	5,387	1,250
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	79.98	6,262	875
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2020-08-17	10	109.23	1,387	-4,875
Agnico Eagle Mines Limited	Common Shares	Vollmershausen, Christopher Charles Norman	5	2020-08-17	10	109.11	1,283	-104
Agnico Eagle Mines Limited	Options	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	56.45	37,750	-2,500
Agnico Eagle Mines Limited	Options	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	58.04	37,500	-250
Agnico Eagle Mines Limited	Options	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	55.1	36,250	-1,250
Agnico Eagle Mines Limited	Options	Vollmershausen, Christopher Charles Norman	5	2020-08-17	51	79.98	35,375	-875
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	2020-06-30	97			-2,800
Aimia Inc.	Common Shares	Mittleman Investment Management, LLC	3	2020-06-30	97			-2,800
AIRBOSS OF AMERICA CORP.	Common Shares	Ambeault, Yvan	2	2020-08-18	51		5,954	424
AIRBOSS OF AMERICA CORP.	Common Shares	Ambeault, Yvan	2	2020-08-18	51		6,283	329
AIRBOSS OF AMERICA CORP.	Common Shares	Ambeault, Yvan	2	2020-08-18	51		7,406	1,123
AIRBOSS OF AMERICA CORP.	Options	Ambeault, Yvan	2	2020-08-18	51	12.26	13,091	-1,215
AIRBOSS OF AMERICA CORP.	Options	Ambeault, Yvan	2	2020-08-18	51	11.56	12,207	-884
AIRBOSS OF AMERICA CORP.	Options	Ambeault, Yvan	2	2020-08-18	51	9.49	9,655	-2,552
AirlQ Inc.	Common Shares	Vecima Networks Inc.	3	2020-08-18	10	0.3	849,500	-95,000
AirlQ Inc.	Common Shares	Vecima Networks Inc.	3	2020-08-19	10	0.31	778,500	-71,000
AirlQ Inc.	Common Shares	Vecima Networks Inc.	3	2020-08-20	10	0.3	0	-778,500
Akumin Inc.	Common Shares	Cameron, Matthew	5	2020-08-20	30		123	20
Akumin Inc.	Common Shares	Fernandes, Leigh Anne	7	2020-08-20	30		199	24
Akumin Inc.	Common Shares	Fitzgerald, Christopher Gifford	5	2020-08-20	30		336	5
Akumin Inc.	Common Shares	Kassa, Laura Mae	5	2020-08-20	30		950	17
Akumin Inc.	Common Shares	Luckey, Michael	5	2020-08-20	30		858	17
Akumin Inc.	Common Shares	Meredith, Michael	5	2020-08-20	30		697	14
Akumin Inc.	Common Shares	Moore, Karen	7	2020-08-20	30		615	14
Akumin Inc.	Common Shares	Navani, Rohit Kishin	5	2020-08-20	30		288	19
Akumin Inc.	Common Shares	Richardson, Jason	5	2020-08-20	30		951	17
Alamos Gold Inc.	Common Shares Class A	MacPhail, Peter	5	2020-08-17	51	6.56	148,348	20,000
Alamos Gold Inc.	Common Shares Class A	MacPhail, Peter	5	2020-08-17	10	14.04	128,348	-20,000
Alamos Gold Inc.	Options	MacPhail, Peter	5	2020-08-17	51	6.56	388,771	-20,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Alamos Gold Inc.	Common Shares Class A	Porter, James	5	2020-08-18	51	10000		10,000
Alamos Gold Inc.	Common Shares Class A	Porter, James	5	2020-08-18	51	10000		10,000
Alamos Gold Inc.	Common Shares Class A	Porter, James	5	2020-08-18	10	14.41	97,537	-10,000
Alamos Gold Inc.	Common Shares Class A	Porter, James	5	2020-08-18	51	3.75	107,537	10,000
Alamos Gold Inc.	Options	Porter, James	5	2020-08-18	51	3.75	417,271	-10,000
Alamos Gold Inc.	Rights Deferred Share Units	Prichard, John Robert Stobo	4	2020-08-14	30		45,916	363
Alamos Gold Inc.	Common Shares Class A	Webster, Colin	5	2020-08-13	51	3.75	60,380	45,000
Alamos Gold Inc.	Common Shares Class A	Webster, Colin	5	2020-08-13	10	12.95	15,380	-45,000
Alamos Gold Inc.	Options	Webster, Colin	5	2020-08-13	51	3.75	102,820	-45,000
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Warrants	Brown, Mark Thomas	4	2020-08-16	55	0.2	239,300	-304,607
Alianza Minerals Ltd. (formerly Tarsis Resources Ltd.)	Warrants	Brown, Mark Thomas	4	2020-08-16	55	0.2	0	-75,000
Allegiant Gold Ltd.	Common Shares	Gianulis, Peter Lawrence	4, 6	2020-08-17	10	0.34	6,186,300	14,500
Allegiant Gold Ltd.	Common Shares	nichols, shawn	4	2020-08-14	10	0.33	1,566,695	3,915
Allegiant Gold Ltd.	Common Shares	nichols, shawn	4	2020-08-17	10	0.355	1,574,695	8,000
Allegiant Gold Ltd.	Common Shares	nichols, shawn	4	2020-08-18	10	0.395	1,624,695	50,000
Allegiant Gold Ltd.	Common Shares	nichols, shawn	4	2020-08-20	10	0.37	1,639,695	15,000
Altiplano Metals Inc.	Common Shares	Bourassa, Justin	5	2020-08-19	51	0.12	1,069,609	16,500
Altiplano Metals Inc.	Common Shares	Bourassa, Justin	5	2020-08-19	54	0.1	1,204,942	135,333
Altiplano Metals Inc.	Options	Bourassa, Justin	5	2020-08-19	51	0.12	800,000	-16,500
Altiplano Metals Inc.	Warrants	Bourassa, Justin	5	2020-08-19	54	0.1	100,000	-135,333
Altiplano Metals Inc.	Common Shares	McIntyre, Alastair	5	2020-08-17	36	0.1	689,667	500,000
Altiplano Metals Inc.	Options	McIntyre, Alastair	5	2020-08-17	51		0	-500,000
Altiplano Metals Inc.	Common Shares	Williamson, John	3, 4	2020-08-19	54	0.1	3,570,168	100,000
Altiplano Metals Inc.	Warrants	Williamson, John	3, 4	2020-08-19	54	0.1	283,000	-100,000
Altus Group Limited	Common Shares	Ball, Patricia Gabriel	5	2020-08-17	10	48.78	0	-826
Altus Group Limited	Common Shares	McSweeney, Niall	5	2020-08-19	51	29.72	17,241	5,100
Altus Group Limited	Common Shares	McSweeney, Niall	5	2020-08-19	51	31.59	20,679	3,438
Altus Group Limited	Common Shares	McSweeney, Niall	5	2020-08-19	51	26.23	22,771	2,092
Altus Group Limited	Options	McSweeney, Niall	5	2020-08-19	51	29.72	21,479	-5,100
Altus Group Limited	Options	McSweeney, Niall	5	2020-08-19	51	31.59	18,041	-3,438
Altus Group Limited	Options	McSweeney, Niall	5	2020-08-19	51	26.23	15,949	-2,092
Altus Group Limited	Common Shares	Probyn, Alex	7	2020-08-17	51	29.72	31,996	1,826
Altus Group Limited	Common Shares	Probyn, Alex	7	2020-08-17	51	31.59	34,832	2,836
Altus Group Limited	Common Shares	Probyn, Alex	7	2020-08-17	51	26.23	38,527	3,695
Altus Group Limited	Common Shares	Probyn, Alex	7	2020-08-17	10	48.3	30,170	-8,357
Altus Group Limited	Common Shares	Probyn, Alex	7	2020-08-17	10	48.25	30,106	-64
Altus Group Limited	Common Shares	Probyn, Alex	7	2020-08-17	10	48.26	29,537	-569
Altus Group Limited	Common Shares	Probyn, Alex	7	2020-08-18	10	47.8	26,037	-3,500
Altus Group Limited	Options	Probyn, Alex	7	2020-08-17	51	29.72	44,533	-1,826
Altus Group Limited	Options	Probyn, Alex	7	2020-08-17	51	31.59	41,697	-2,836
Altus Group Limited	Options	Probyn, Alex	7	2020-08-17	51	26.23	38,002	-3,695
Alvopetro Energy Ltd.	Common Shares	Audet, Adrian	5	2020-08-12	00		31,084	
Alvopetro Energy Ltd.	Common Shares	Audet, Adrian	5	2020-08-12	00		21,011	
Alvopetro Energy Ltd.	Common Shares	Audet, Adrian	5	2020-08-12	00		39,343	
Alvopetro Energy Ltd.	Common Shares	Audet, Adrian	5	2020-08-12	00			
Alvopetro Energy Ltd.	Common Shares	Audet, Adrian	5	2020-08-12	00			
Alvopetro Energy Ltd.	Common Shares	Audet, Adrian	5	2020-08-12	00			
Alvopetro Energy Ltd.	Options	Audet, Adrian	5	2020-08-12	00		660,000	

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Audet, Adrian	5	2020-08-12	00			
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Audet, Adrian	5	2020-08-17	56		150,000	150,000
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Howard, Alison Leanne	5	2013-11-28	00			
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Howard, Alison Leanne	5	2013-11-28	00			
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Howard, Alison Leanne	5	2020-08-17	56			150,000
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Howard, Alison Leanne	5	2020-08-17	56		150,000	150,000
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Ruttan, Corey Christopher	4, 5	2013-11-28	00			
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Ruttan, Corey Christopher	4, 5	2013-11-28	00			
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Ruttan, Corey Christopher	4, 5	2020-08-17	56			360,000
Alvopetro Energy Ltd.	Rights Restricted Share Units (Incentive Shares)	Ruttan, Corey Christopher	4, 5	2020-08-17	56		360,000	360,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	AMJP HOLDINGS ULC	6	2020-08-13	10	9.2535	2,509,801	-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	AMJP HOLDINGS ULC	6	2020-08-14	10	9.2507	2,492,001	-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	AMJP HOLDINGS ULC	6	2020-08-17	10	9.1977	2,472,801	-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	COVERT, LORI CONSTANCE	6	2020-08-13	10	9.2535	2,509,801	-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	COVERT, LORI CONSTANCE	6	2020-08-14	10	9.2507	2,492,001	-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	COVERT, LORI CONSTANCE	6	2020-08-17	10	9.1977	2,472,801	-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	Peller Family Enterprises Inc.	3	2020-08-13	10	9.2535	2,509,801	-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	Peller Family Enterprises Inc.	3	2020-08-14	10	9.2507	2,492,001	-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	Peller Family Enterprises Inc.	3	2020-08-17	10	9.1977	2,472,801	-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, ANDREW ANGUS	4, 6	2020-08-13	10	9.2535	2,509,801	-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, ANDREW ANGUS	4, 6	2020-08-14	10	9.2507	2,492,001	-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, ANDREW ANGUS	4, 6	2020-08-17	10	9.1977	2,472,801	-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, D. JAMES	6	2020-08-13	10	9.2535	2,509,801	-13,000

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Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, D. JAMES	6	2020-08-14	10	9.2507	2,492,001	-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, D. JAMES	6	2020-08-17	10	9.1977	2,472,801	-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JEFFREY MARK	6	2020-08-13	10	9.2535	2,509,801	-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JEFFREY MARK	6	2020-08-14	10	9.2507	2,492,001	-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JEFFREY MARK	6	2020-08-17	10	9.1977	2,472,801	-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOHN EDWARD	4, 6, 5	2020-08-13	10	9.2535	2,509,801	-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOHN EDWARD	4, 6, 5	2020-08-14	10	9.2507	2,492,001	-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOHN EDWARD	4, 6, 5	2020-08-17	10	9.1977	2,472,801	-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOSEPH ANDREW	3	2020-08-13	10	9.2535		-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOSEPH ANDREW	3	2020-08-13	10	9.2535		-13,000
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOSEPH ANDREW	3	2020-08-14	10	9.2507		-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOSEPH ANDREW	3	2020-08-14	10	9.2507		-17,800
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOSEPH ANDREW	3	2020-08-17	10	9.1977		-19,200
Andrew Peller Limited (formerly AndrOs Wines Ltd.)	Non-Voting Shares Class A	PELLER, JOSEPH ANDREW	3	2020-08-17	10	9.1977		-19,200
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Common Shares	Mastronardi, Benjamin	7	2019-07-15	00			
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Common Shares	Mastronardi, Benjamin	7	2020-08-17	57		496,690	496,690
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Rights Restricted Share Units	Mastronardi, Benjamin	7	2019-07-15	00			
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Rights Restricted Share Units	Mastronardi, Benjamin	7	2020-08-14	56		496,690	496,690
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Rights Restricted Share Units	Mastronardi, Benjamin	7	2020-08-17	57		0	-496,690
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Common Shares	Mastronardi, Chris	7	2019-07-15	00			
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Common Shares	Mastronardi, Chris	7	2020-08-17	57		496,690	496,690
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Rights Restricted Share Units	Mastronardi, Chris	7	2019-07-15	00			
Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Rights Restricted Share Units	Mastronardi, Chris	7	2020-08-14	56		496,690	496,690

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Aphria Inc. (formerly, Black Sparrow Capital Corp.)	Rights Restricted Share Units	Mastronardi, Chris	7	2020-08-17	57		0	-496,690
Appili Therapeutics Inc.	Common Shares Class A Common Shares	The K2 Principal Fund L.P.	3	2020-08-21	10	0.9171	5,746,701	29,500
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-08-10	10	0.105		-57,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-08-10	10	0.105	233,712	-57,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-08-10	10	0.08	158,712	-75,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-08-10	10	0.1		-75,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-08-10	10	0.1	83,712	-75,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-08-17	10	0.0925	58,712	-25,000
Appreciated Media Holdings Inc. (formerly, The Wonderfilm Media Corporation)	Common Shares	Shaw, Kirk Edward	5	2020-08-17	10	0.09	33,712	-25,000
Aquila Resources Inc.	Common Shares	Hildred, David Barrett	5	2020-08-18	10	0.153	689,813	75,000
Artis Real Estate Investment Trust	Deferred Units	Rodney, Benjamin Ryan	4	2020-08-14	56	8.57	9,975	52
Artis Real Estate Investment Trust	Units	Rodney, Benjamin Ryan	4	2020-08-20	10	8.69	16,000	12,000
Asante Gold Corporation	Common Shares	MacQuarrie, Douglas Richard	5	2020-08-18	10	0.085	12,016,929	20,000
Asante Gold Corporation	Common Shares	Norwich, Roger	4	2020-08-18	00		1,325,000	
Asante Gold Corporation	Options	Norwich, Roger	4	2020-08-18	00		350,000	
Asante Gold Corporation	Warrants	Norwich, Roger	4	2020-08-18	00		1,000,000	
Asian Television Network International Limited	Common Shares	CHANDRASEKAR, SUBRAHMAN	4, 5	2020-08-18	10	0.115	17,281,018	16,000
Athabasca Minerals Inc.	Common Shares	Archibald, Dana Forbes	5	2020-08-14	30	0.155	74,783	4,974
Athabasca Minerals Inc.	Common Shares	Beekhuizen, Robet James	5	2020-08-14	30	0.155	511,838	7,393
Athabasca Minerals Inc.	Common Shares	Smith, Mark Gregory Edward	5	2020-08-14	30	0.155	132,595	4,033
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-06-29	38	1.8999	856,565	46,885
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-06-30	38	2.0104	298,884	251,999
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-01	38	2.0191	549,401	250,517
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-02	38	2.0037	801,400	251,999
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-06	38	2.0341	1,093,315	291,915
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-07	38	1.9958	1,306,976	213,661

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-08	38	2.0195	1,541,976	235,000
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-09	38	1.9607	1,767,987	226,011
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-10	38	1.9881	2,059,602	291,615
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-13	38	2.0291	2,394,691	335,089
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-14	38	2.0519	2,729,780	335,089
Atlantic Power Corporation	Common Shares	Atlantic Power Corporation	1	2020-07-31	38		0	-2,729,780
ATS Automation Tooling Systems Inc.	Common Shares	Roberts, Simon	5	2020-08-13	51	10.46	5,000	5,000
ATS Automation Tooling Systems Inc.	Common Shares	Roberts, Simon	5	2020-08-13	10	20.86	0	-5,000
ATS Automation Tooling Systems Inc.	Options	Roberts, Simon	5	2020-08-13	51	10.46	70,763	-5,000
AurCrest Gold Inc.	Options	Brodie-Brown, Ian Alexander	4, 5	2011-07-18	52		2,150,000	-300,000
AurCrest Gold Inc.	Options	Brodie-Brown, Ian Alexander	4, 5	2014-08-13	52		2,000,000	-150,000
AurCrest Gold Inc.	Options	Brodie-Brown, Ian Alexander	4, 5	2020-07-29	50	0.05	2,500,000	2,000,000
Aurinia Pharmaceuticals Inc.	Common Shares	Huizinga, Robert	5	2020-08-17	51	4.45	117,592	31,529
Aurinia Pharmaceuticals Inc.	Common Shares	Huizinga, Robert	5	2020-08-18	10	19.013	103,592	-14,000
Aurinia Pharmaceuticals Inc.	Options	Huizinga, Robert	5	2020-08-17	51	4.45	585,158	31,529
Auryn Resources Inc.	Common Shares	Fretwell, Gordon	4	2020-08-14	11	1.3	145,784	60,000
Auryn Resources Inc.	Options	Fretwell, Gordon	4	2020-08-14	51	1.3	140,000	-60,000
Auryn Resources Inc.	Common Shares	Henrichsen, Michael	5	2020-08-12	51	1.3	276,000	75,000
Auryn Resources Inc.	Options	Henrichsen, Michael	5	2020-08-12	51	1.3	455,000	-75,000
Auryn Resources Inc.	Common Shares	Smithson, David Mark	5	2018-06-07	00		125,000	
Auryn Resources Inc.	Common Shares	Smithson, David Mark	5	2020-08-04	51	1.3	225,000	100,000
Auryn Resources Inc.	Common Shares	Smithson, David Mark	5	2020-08-04	10	3.4208	125,000	-100,000
Auryn Resources Inc.	Options	Smithson, David Mark	5	2020-08-04	51	1.3	470,000	-100,000
AutoCanada Inc.	Deferred share units	DesRosiers, Dennis Stephan	4	2020-08-15	56		22,474	617
AutoCanada Inc.	Deferred share units	Green, Stephen	4	2020-08-15	56		26,028	2,031
AutoCanada Inc.	Deferred share units	James, Barry Lee	4	2020-08-15	56		13,737	617
AutoCanada Inc.	Deferred share units	Keller, Maryann Natalie	4	2020-08-15	56		46,254	2,185
AutoCanada Inc.	Deferred share units	Olmata, Elias	4	2020-08-15	56		22,240	1,722
AutoCanada Inc.	Common Shares	Steele, Robert	3	2020-08-13	00		8,100	
AutoCanada Inc.	Common Shares	Steele, Robert	3	2020-08-13	00		226,055	
AutoCanada Inc.	Common Shares	Steele, Robert	3	2020-08-13	00		2,522,300	
Avicanna Inc.	Common Shares	Nosiglia, Lucas Pablo	7, 5	2020-08-18	16		367,083	41,970
Avicanna Inc.	Warrants	Nosiglia, Lucas Pablo	7, 5	2019-07-10	00			
Avicanna Inc.	Warrants	Nosiglia, Lucas Pablo	7, 5	2020-08-18	16	2	20,985	20,985
Avicanna Inc.	Common Shares	Panchal, Chandra	4	2020-08-18	16		163,641	7,000
Avicanna Inc.	Warrants	Panchal, Chandra	4	2020-08-18	16	2	4,125	3,500
Axis Auto Finance Inc.	Common Shares	Hudson, Todd Charles	5	2020-08-19	10	0.487	6,212,376	57,500
Aztec Minerals Corp.	Common Shares	Cooke, Bradford	4	2020-08-17	10	0.62	3,138,083	-50,000
Aztec Minerals Corp.	Common Shares	Schilling, James	4	2020-08-13	10	0.63	1,076,666	-100,000
Aztec Minerals Corp.	Common Shares	Schilling, James	4	2020-08-17	10	0.6	966,666	-110,000
B2Gold Corp.	Common Shares	Bullock, Kevin	4	2020-08-17	51	1.12	73,367	12,000
B2Gold Corp.	Common Shares	Bullock, Kevin	4	2020-08-17	10		60,367	-13,000
B2Gold Corp.	Common Shares	Bullock, Kevin	4	2020-08-17	10		17,000	-2,000
B2Gold Corp.	Options	Bullock, Kevin	4	2020-08-17	51	1.12	30,000	-12,000

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B2Gold Corp.	Common Shares	Cinnamond, Michael Andrew	5	2020-08-17	10	9.41	17	-40,750
B2Gold Corp.	Common Shares	Rogers, Dana	5	2020-08-17	10	9.24	-38,336	-50,000
B2Gold Corp.	Common Shares	Rogers, Dana	5	2020-08-17	10	9.24	-49,936	-11,600
B2Gold Corp.	Common Shares	Rogers, Dana	5	2020-08-17	51	3.03	64	50,000
B2Gold Corp.	Options	Rogers, Dana	5	2020-08-17	51	3.03	66,667	-50,000
B2Gold Corp.	Options	Rogers, Dana	5	2020-08-17	51	3.03		50,000
BacTech Environmental Corporation	Options	Orr, Murray Ross	7	2020-08-20	50		2,520,000	1,500,000
Ballard Power Systems Inc.	Common Shares	MacEwen, Robert Randall	5	2020-08-18	10	20.88	243,110	-70,000
Ballard Power Systems Inc.	Common Shares	Sutcliffe, Ian Douglas	4	2013-06-04	00		10,000	
Ballard Power Systems Inc.	Common Shares	Sutcliffe, Ian Douglas	4	2020-08-07	10	19.761	5,000	-5,000
Ballard Power Systems Inc.	Common Shares	Sutcliffe, Ian Douglas	4	2020-08-07	10	20.74	0	-5,000
Barrick Gold Corporation	Common Shares	Hill, Mark Francis	5	2020-08-17	10	39.86	9,453	-25,244
Barrick Gold Corporation	Common Shares	Raw, Catherine Philippa	5	2020-08-19	10	38.458	95,470	-10,000
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-08-17	57	17.48	201,146	10,234
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Common Shares	Humphries, William Douglas	5	2020-08-17	97	17.48	196,579	-4,567
Bausch Health Companies Inc. (formerly, Valeant Pharmaceuticals International, Inc.)	Rights Restricted Share Units (RSUs)	Humphries, William Douglas	5	2020-08-17	57		44,123	-10,234
Benton Resources Inc.	Options	Asselstine, Evan	5	2020-08-18	50	0.2	1,300,000	300,000
Benton Resources Inc.	Options	Fretwell, Gordon	4	2020-08-18	50	0.2	700,000	150,000
Benton Resources Inc.	Options	Sarvas, Tom	4	2020-06-12	00			
Benton Resources Inc.	Options	Sarvas, Tom	4	2020-08-18	50	0.2	200,000	200,000
Benton Resources Inc.	Options	Stares, Michael	4	2020-08-18	50	0.2		250,000
Benton Resources Inc.	Options	Stares, Michael	4	2020-08-18	50	0.2	1,150,000	250,000
Benton Resources Inc.	Options	Stares, Stephen	4	2020-08-18	50	0.2	1,900,000	400,000
Benton Resources Inc.	Options	Sullivan, John Reynolds	4	2020-08-18	50	0.2	650,000	200,000
Better Plant Sciences Inc.	Common Shares	White, Penny Olga	3, 4, 5	2020-08-18	10	0.1	16,945,721	10,000
Better Plant Sciences Inc.	Common Shares	White, Penny Olga	3, 4, 5	2020-08-18	10	0.1133	16,948,721	3,000
BIGG Digital Assets Inc.	Common Shares	Binns, Mark Andrew	4	2020-08-19	10	0.19	1,123,000	10,000
BIGG Digital Assets Inc.	Common Shares	Binns, Mark Andrew	4	2020-08-21	10	0.2	1,133,000	10,000
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2020-08-17	10	0.2	2,365,904	17,500
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2020-08-18	10	0.195	2,370,904	5,000
Biomark Diagnostics Inc.	Common Shares	HUANG, GUOYU	5	2020-08-19	10	0.205	2,371,904	1,000
Bird Construction Inc.	Deferred Share Units	Bird, John Richard	4	2020-08-20	35		26,935	129
Bird Construction Inc.	Deferred Share Units	Brooks, Karyn Anne	4	2020-08-20	35		62,352	298
Bird Construction Inc.	Deferred Share Units	Charette, Paul Alphonse	4	2020-08-20	35		45,779	218

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Bird Construction Inc.	Deferred Share Units	Doyle, Donald Gregory	4	2020-08-20	35		112,639	538
Bird Construction Inc.	Deferred Share Units	DuPont, Bonnie Dianne Rose	4	2020-08-20	35		73,134	349
Bird Construction Inc.	Deferred Share Units	Messier, Luc Jean-Francois	4	2020-08-20	35		64,630	309
Bird Construction Inc.	Deferred Share Units	Munkley, Ronald David	4	2020-08-20	35		92,142	440
Bird Construction Inc.	Deferred Share Units	Raboud, Paul Robert	4	2020-08-20	35		24,420	117
Bird Construction Inc.	Deferred Share Units	Thorsteinson, Arni Clayton	4	2020-08-20	35		96,692	462
Black Diamond Group Limited	Common Shares	Haynes, Trevor	4, 5	2020-08-14	57		2,790,559	8,334
Black Diamond Group Limited	Rights RSU	Haynes, Trevor	4, 5	2020-08-14	57	1.7535	108,000	-8,334
Black Diamond Group Limited	Common Shares	LaBrie, Tobias Gerald	5	2020-08-14	57		130,115	8,334
Black Diamond Group Limited	Rights RSU	LaBrie, Tobias Gerald	5	2020-08-14	57	1.7535	60,500	-8,334
Black Diamond Group Limited	Common Shares	Melanson, Patrick	5	2020-08-14	57		95,061	8,334
Black Diamond Group Limited	Rights RSU	Melanson, Patrick	5	2020-08-14	57	1.7535	60,500	-8,334
Blackhawk Growth Corp.	Options	Lichtenwald, Konstantin	5	2019-12-23	00			
Blackhawk Growth Corp.	Options	Lichtenwald, Konstantin	5	2020-08-11	50	0.05	1,000,000	1,000,000
Blue Star Gold Corp.	Common Shares	Ewing, Grant David	5	2020-08-17	00			
Blue Star Gold Corp.	Options	Ewing, Grant David	5	2020-08-17	00		1,200,000	
Blue Star Gold Corp.	Warrants	Ewing, Grant David	5	2020-08-17	00			
Blue Star Gold Corp.	Options	Metcalfe, Robert	4	2020-08-19	52	0.1	1,800,000	-300,000
Blue Star Gold Corp.	Options	Yurichuk, Kenneth R.	4	2020-08-19	52	0.1	1,800,000	-300,000
Blueberries Medical Corp.	Common Shares	Atacan, Ian D	5	2020-08-14	10	0.05	350,000	50,000
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-05	10	0.039		200,000
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-05	10	0.039		200,000
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-06	00			
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-06	00			
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-06	00		2,310,125	
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-06	10	0.38		6,350
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-06	10	0.038	2,316,475	6,350
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-07	10	0.0366	2,316,882	407
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-17	10	0.038	2,319,877	2,995
Blueberries Medical Corp.	Common Shares	Garreton, Facundo	4	2020-08-19	10	0.039	2,371,277	51,400
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2019-03-27	10	0.83	285,000	-15,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-03-11	10	0.0936	395,000	70,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-03-13	10	0.07	400,000	5,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-03-26	10	0.065	401,500	1,500
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-04-17	10	0.06	416,500	15,000

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Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-07-03	10	0.06	432,500	16,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-07-06	10	0.06	492,500	60,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-07-24	10	0.055	522,500	30,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-07-30	10	0.065	538,500	16,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-08-04	10	0.055	563,500	25,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-08-07	10	0.055	586,500	23,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-08-14	10	0.055	614,500	28,000
Blueberries Medical Corp.	Common Shares	Villalba Gsmez, Camilo	5	2020-08-17	10	0.05	649,500	35,000
Bluestone Resources Inc.	Common Shares	Johnson, Penny	5	2018-02-19	00			
Bluestone Resources Inc.	Common Shares	Johnson, Penny	5	2020-08-17	51	1.25	33,333	33,333
Bluestone Resources Inc.	Common Shares	Johnson, Penny	5	2020-08-17	10	1.25	0	-33,333
Bluestone Resources Inc.	Options	Johnson, Penny	5	2020-08-17	51	1.25	126,667	-33,333
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-04	10	0.5378	16,087,269	20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-05	10	0.4995	16,107,269	20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-05	10	0.47	16,311,269	204,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-06	10	0.5255	16,321,269	10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-06	10	0.5185	16,331,269	10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.416	16,321,269	-10,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.42	16,318,269	-3,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-11	10	0.45	16,298,269	-20,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.4098	16,348,269	50,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.36	16,353,269	5,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.41	16,341,269	-12,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.42	16,340,769	-500
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.3947	16,890,769	550,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-12	10	0.38	16,864,769	-26,000
Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-17	10	0.47	16,844,769	-20,000

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Bluma Wellness Inc. (formerly, Goldstream Minerals Inc.)	Common Shares	SOL GLOBAL INVESTMENTS CORP.	3	2020-08-17	10	0.455	16,129,769	-715,000
BMTC Group Inc.	Common Shares	Leclair, Anne-Marie	4	2020-08-14	10	10.009	12,189	3,362
Boardwalk Real Estate Investment Trust	Trust Units	Havener, Jr., Arthur Lee	4	2020-08-17	10	23.39	530	30
Boardwalk Real Estate Investment Trust	Trust Units	Havener, Jr., Arthur Lee	4	2020-08-17	10	23.44	5,050	550
Boardwalk Real Estate Investment Trust	Trust Units	Havener, Jr., Arthur Lee	4	2007-05-10	00			
Boardwalk Real Estate Investment Trust	Trust Units	Havener, Jr., Arthur Lee	4	2020-08-17	10	23.42	314	314
Boardwalk Real Estate Investment Trust	Trust Units	Havener, Jr., Arthur Lee	4	2020-08-17	10	23.44	24,010	850
Boardwalk Real Estate Investment Trust	Trust Units	Morrison, Scott Andrew	5	2020-08-17	10	30.9	12,500	500
Boardwalk Real Estate Investment Trust	Trust Units	Morrison, Scott Andrew	5	2020-08-18	10	30.55	13,000	500
Bonavista Energy Corporation	Common Shares	Estep, Rochelle Lee	5	2020-08-18	38	0.05	0	-166,556
Bonavista Energy Corporation	Common Shares	Jensen, Bruce Wayne	5	2020-08-18	38	0.05	0	-553,105
Bonavista Energy Corporation	Common Shares	Jensen, Bruce Wayne	5	2020-08-18	38	0.05	0	-87,483
Bonavista Energy Corporation	Common Shares	Kobelka, Dean Mark	5	2020-08-18	38	0.05	0	-629,943
Bonavista Energy Corporation	Performance Incentive Awards (PIA)	Kobelka, Dean Mark	5	2020-08-11	59	0.05	0	-600,000
Bonavista Energy Corporation	Performance Incentive Awards (PIA)	Kobelka, Dean Mark	5	2020-08-11	59	0.05	0	-600,000
Bonavista Energy Corporation	Common Shares	Ranger, Colin	5	2020-08-18	38	0.05	0	-363,079
Bonavista Energy Corporation	Common Shares	Ranger, Colin	5	2020-08-18	38	0.05	0	-902
Bonavista Energy Corporation	Common Shares	Robinson, Lynda Julie	5	2020-08-18	38	0.05	0	-397,231
Bonavista Energy Corporation	Common Shares	Shimek, Scott	5	2020-08-18	38	0.05	0	-336,661
Bonavista Energy Corporation	Common Shares	Skehar, Jason Edward	4, 5	2020-08-18	38	0.05	0	-1,229,652
Bonavista Energy Corporation	Common Shares	Skehar, Jason Edward	4, 5	2020-08-18	38	0.05	0	-5,371
Bonavista Energy Corporation	Common Shares	Skehar, Jason Edward	4, 5	2020-08-18	38	0.05	0	-1,913
Bonavista Energy Corporation	Common Shares	Skehar, Jason Edward	4, 5	2020-08-18	38	0.05	0	-4,313
Bonavista Energy Corporation	Common Shares	Skehar, Jason Edward	4, 5	2020-08-18	38	0.05	0	-6,691
Bonavista Energy Corporation	Common Shares	Skehar, Jason Edward	4, 5	2020-08-18	38	0.05	0	-8,758
Bonterra Resources Inc.	Options	Rainville, Jean	4	2020-08-19	00			
Bonterra Resources Inc.	Options	Rainville, Jean	4	2020-08-19	50	1.54	300,000	300,000
Boreal Metals Corp.	Common Shares	Varas, Patricio	4	2020-08-14	11	0.055	4,900,000	1,650,000
Boreal Metals Corp.	Common Shares	Varas, Patricio	4	2020-08-14	53	0.11		1,650,000
Boreal Metals Corp.	Common Shares	Varas, Patricio	4	2020-08-14	53	0.11		1,650,000
Boreal Metals Corp.	Warrants	Varas, Patricio	4	2020-08-14	11	0.11	1,775,000	1,650,000
BQE Water Inc.	Common Shares	Tingley, Hall	3	2020-08-21	10	15.05	106,848	600
BQE Water Inc.	Common Shares	Tingley, Hall	3	2020-08-21	10	15	107,348	500
Bragg Gaming Group Inc. (formerly Breaking Data Corp.)	Options	Godfrey, Robin James	4	2019-06-27	00		100,000	

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Brattle Street Investment Corp.	Options	Dalsin, Michael	3, 4	2020-08-18	50		1,025,000	425,000
Brattle Street Investment Corp.	Options	Greene, Roger Scott	3, 4, 5	2020-08-18	50		1,000,000	400,000
Braveheart Resources Inc.	Common Shares	Matlock, Aaron	4, 5	2020-08-19	10	0.12	7,013,001	4,000
Brixton Metals Corporation	Common Shares	Moodie, Cale	4, 5	2020-08-14	11	0.25		120,000
Brixton Metals Corporation	Common Shares	Moodie, Cale	4, 5	2020-08-17	11	0.25	939,667	120,000
Brixton Metals Corporation	Warrants	Moodie, Cale	4, 5	2020-08-17	53	0.35	303,667	120,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2020-07-02	38	33.018	1,155,395	16,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2020-07-02	38		1,139,395	-16,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2020-07-03	38	44.487	1,155,395	16,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2020-07-03	40			-16,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Brookfield Asset Management Inc.	1	2020-07-03	38		1,139,395	-16,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Cockwell, Jack Lynn	4, 6	2020-08-18	11	44.32	18,826,871	-200,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Cockwell, Jack Lynn	4, 6	2020-04-01	35			5,690,367
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Cockwell, Jack Lynn	4, 6	2020-04-01	35			5,690,367
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Cockwell, Jack Lynn	4, 6	2020-04-01	35		17,664,192	5,888,064
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Marks, Howard Stanley	4	2020-08-18	10	33.669	105,374	-100,000
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Marks, Howard Stanley	4	2020-08-19	10	33.853	0	-105,374
Brookfield Asset Management Inc.	Common Shares Class A Limited Voting	Marks, Howard Stanley	4	2020-08-17	10	34.471	0	-354,477
Brookfield Property Partners L.P.	Deferred Units (Global)	Liebman, Lance Malcolm	7	2020-05-20	30		54,385	2,155
Brookfield Property Partners L.P.	Deferred Units (Global)	Liebman, Lance Malcolm	7	2020-08-19	30		56,213	1,828
BSR Real Estate Investment Trust	Trust Units	Hughes, Jr., William Daniel	4	2020-08-17	10	10.65	3,000	1,000
BTB Real Estate Investment Trust	Trust Units	BoltO, Mathieu	5	2020-05-25	00			
BTB Real Estate Investment Trust	Trust Units	BoltO, Mathieu	5	2020-08-21	10	3.15	4,000	4,000
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2020-08-19	10	8.11	20,433	300
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2020-08-20	10	7.71	20,833	400
Builders Capital Mortgage Corp.	Non-Voting Shares Class A	Loutitt, Sandy Luke	3, 4	2020-08-14	10	8.16	12,190	550
C-COM Satellite Systems Inc.	Common Shares	Awada, Bilal	5	2020-08-19	51	1.09	225,553	75,000
C-COM Satellite Systems Inc.	Options	Awada, Bilal	5	2020-08-19	51		650,000	-75,000

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C21 Investments Inc.	Options	Macdonald, Donald Bruce	4	2020-08-17	50		460,000	250,000
C21 Investments Inc.	Options	Newman, Sonny	3	2019-01-15	00			
C21 Investments Inc.	Options	Newman, Sonny	3	2020-08-17	50		1,000,000	1,000,000
Cabral Gold Inc.	Common Shares	Carter, Alan	4, 6, 5	2020-08-17	30		10,662,832	50,000
Cabral Gold Inc.	Common Shares	Hansed, Paul Taylor	5	2020-08-17	30		200,000	100,000
Cabral Gold Inc.	RSU	Smith, Peter Mark	4, 5	2018-05-01	00			
Cabral Gold Inc.	RSU	Smith, Peter Mark	4, 5	2020-08-17	30		75,000	75,000
Cabral Gold Inc.	Restricted Share Units	Weyrauch, Derrick Horst	4	2020-08-12	97		308,333	175,000
Calian Group Ltd.	Common Shares	Basler, Raymond Gregory	4	2020-08-17	10	64.8	32,998	-1,000
Calian Group Ltd.	Options	Houston, Patrick Belanger	5	2020-08-13	50	60.3	21,353	18,353
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2020-08-17	51	29.55	13,906	7,700
Calian Group Ltd.	Common Shares	loeb, kenneth jeffrey	4	2020-08-17	10	63.16	6,206	-7,700
Calian Group Ltd.	Options	loeb, kenneth jeffrey	4	2020-08-17	51	29.55	12,300	-7,700
Calian Group Ltd.	Options	Thera, Patrick Joseph	5	2020-08-11	50	60.3	18,715	6,715
Calibre Mining Corp.	Common Shares	Farrauto, Edward Charles	4, 5	2020-08-19	51		902,273	22,500
Calibre Mining Corp.	Options	Farrauto, Edward Charles	4, 5	2020-08-19	51		1,325,000	-22,500
Calibre Mining Corp.	Common Shares	Forster, Douglas Burton	3, 4	2020-08-17	51	1	2,430,263	22,500
Calibre Mining Corp.	Options	Forster, Douglas Burton	3, 4	2020-08-17	51	1	3,055,000	-22,500
Calibre Mining Corp.	Common Shares	Johnson, Blayne, Barry	3	2020-08-20	51		3,409,546	22,500
Calibre Mining Corp.	Options	Johnson, Blayne, Barry	3	2020-08-20	51		3,075,000	-22,500
Canaccord Genuity Group Inc.	Common Shares	MacLachlan, Martin Lachlan	5	2020-08-17	10	7.73	560	-2,800
Canada Nickel Company Inc.	Options	Starr, James Russell Nelles	4	2020-08-12	50		226,250	20,000
Canada Nickel Company Inc.	Restricted Share Units	Starr, James Russell Nelles	4	2020-08-12	56		78,750	10,000
Canadian Goldcamps Corp. (formerly Supreme Metals Corp.)	Common Shares	Garofalo, David	4	2020-08-13	00		2,413,400	
Canadian Goldcamps Corp. (formerly Supreme Metals Corp.)	Options	Garofalo, David	4	2020-08-13	00		1,680,000	
Canadian Goldcamps Corp. (formerly Supreme Metals Corp.)	Options	Purdy, Brendan	4	2020-08-12	50	0.325	850,000	500,000
Canadian Goldcamps Corp. (formerly Supreme Metals Corp.)	Common Shares	Terentiew, Alexander	5	2020-08-12	00			
Canadian Goldcamps Corp. (formerly Supreme Metals Corp.)	Common Shares	Terentiew, Alexander	5	2020-08-12	00		1,506,700	
Canadian Goldcamps Corp. (formerly Supreme Metals Corp.)	Options	Terentiew, Alexander	5	2020-08-12	00		1,680,000	
Canadian Goldcamps Corp. (formerly Supreme Metals Corp.)	Warrants	Terentiew, Alexander	5	2020-08-12	00		300,000	
Canadian Overseas Petroleum Limited	Common Shares	Gaffney, Ryan Thomas	5	2020-07-02	00			

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Canadian Overseas Petroleum Limited	Common Shares	Gaffney, Ryan Thomas	5	2020-08-10	16	0.003	24,791,667	24,791,667
Canadian Overseas Petroleum Limited	Common Shares	Mays, Richard Paul	5	2017-06-12	16	0.005		500,000
Canadian Overseas Petroleum Limited	Common Shares	Mays, Richard Paul	5	2020-08-10	16	0.003	17,880,227	17,880,227
Canadian Overseas Petroleum Limited	Common Shares	Mays, Richard Paul	5	2017-06-12	16	0.005	1,000,000	500,000
Canarc Resource Corp.	Common Shares	Cooke, Bradford	4, 5	2020-08-19	10	0.11	8,360,580	-200,000
Canarc Resource Corp.	Common Shares	Cooke, Bradford	4, 5	2020-08-20	10	0.13	8,310,580	-50,000
Canlan Ice Sports Corp.	Common Shares	Gellard, Michael F.	5	2020-08-20	10	3.21	28,100	100
Canlan Ice Sports Corp.	Common Shares	Wu, Ivan C.	5	2020-08-20	10	3.17	18,200	200
Canlan Ice Sports Corp.	Common Shares	Wu, Ivan C.	5	2020-08-20	10	3.2	18,500	300
Canlan Ice Sports Corp.	Common Shares	Wu, Ivan C.	5	2020-08-21	10	3.2	18,600	100
Cannabis Growth Opportunity Corporation	Options Common Share Options	Andersen, Paul Forbes	4, 5	2020-08-17	50	0.335	475,000	325,000
Cannabis Growth Opportunity Corporation	Options Common Share Options	Campbell, Michael Bruce	5	2020-08-17	50	0.335	600,000	250,000
Cannabis Growth Opportunity Corporation	Options Common Share Options	Campbell, Michael Bruce	5	2020-08-17	52		350,000	-250,000
Cannabis Growth Opportunity Corporation	Common Shares	Conacher, Sean Kenneth	4, 5	2020-08-18	10	0.345	100,000	10,000
Cannabis Growth Opportunity Corporation	Options Common Share Options	Richards, Nicholas	4	2020-08-17	50	0.335	125,000	75,000
Cannabis One Holdings Inc. (formerly, Metropolitan Energy Corp.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-08-17	10	0.095	4,319,000	50,000
Cannabis One Holdings Inc. (formerly, Metropolitan Energy Corp.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-08-17	10	0.09	4,334,000	15,000
Cannabis One Holdings Inc. (formerly, Metropolitan Energy Corp.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-08-17	10	0.085	4,339,000	5,000
Cannabis One Holdings Inc. (formerly, Metropolitan Energy Corp.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-08-18	10	0.095		35,000
Cannabis One Holdings Inc. (formerly, Metropolitan Energy Corp.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-08-18	10	0.09	4,374,000	35,000
Cannabis One Holdings Inc. (formerly, Metropolitan Energy Corp.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-08-18	10	0.095	4,389,000	15,000
Cannabis One Holdings Inc. (formerly, Metropolitan Energy Corp.)	Subordinate Voting Shares Class "A" subordinate voting shares	Nathoo, Alnoor	4	2020-08-18	10	0.105	4,404,000	15,000
Cannara Biotech Inc. (formerly, Dunbar Capital Corp.)	Common Shares	Krivorot, Zohar	4, 5	2018-12-31	00			
Cannara Biotech Inc. (formerly, Dunbar Capital Corp.)	Common Shares	Krivorot, Zohar	4, 5	2018-12-31	00		231,761,250	

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Canso Credit Income Fund	Units Class A Units	Canso Investment Counsel Ltd.	7	2020-08-14	10	11.735	381,752	3,500
Canso Credit Income Fund	Units Class A Units	Canso Investment Counsel Ltd.	7	2020-08-18	10	11.82	381,952	200
Canso Credit Income Fund	Units Class A Units	Canso Investment Counsel Ltd.	7	2020-08-19	10	11.8	382,052	100
Canso Credit Income Fund	Units Class A Units	Canso Investment Counsel Ltd.	7	2020-08-20	10	11.78	385,752	3,700
Canuc Resources Corporation	Common Shares	Berlet, Christopher James	4	2020-08-18	16	0.15	7,915,000	1,400,000
Canuc Resources Corporation	Common Shares	Li, Hao	5	2020-08-14	10	0.2	105,500	-10,000
Canuc Resources Corporation	Common Shares	Li, Hao	5	2020-08-17	16	0.1	145,500	40,000
Capitan Mining Inc.	Common Shares	Dare, Jeffrey	5	2020-08-14	00		129	
Capitan Mining Inc.	Options	Dare, Jeffrey	5	2020-08-14	00		28,534	
Capitan Mining Inc.	Common Shares	Scott, Robert James	5	2020-08-14	00		272,642	
Capitan Mining Inc.	Options	Scott, Robert James	5	2020-08-14	00		47,989	
Capitan Mining Inc.	Common Shares	Staude, John-Mark Gardner	4	2020-08-14	00		572,874	
Capitan Mining Inc.	Common Shares	Staude, John-Mark Gardner	4	2020-08-14	00		121,918	
Capitan Mining Inc.	Options	Staude, John-Mark Gardner	4	2020-08-14	00		225,678	
Capitan Mining Inc.	Warrants	Staude, John-Mark Gardner	4	2020-08-14	00		64,850	
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2020-08-19	10	81	\$6,470	\$170
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2013-12-10	00			
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2020-08-17	10	81	\$280	\$280
Cardinal Energy Ltd.	Debentures 5.50%	Brussa, John Albert	4	2020-08-19	10	81	\$480	\$200
Cardiol Therapeutics Inc.	Common Shares (Class A)	Elsley, David	4, 5	2020-08-20	47		1,969,500	-990,000
Cascadero Copper Corporation	Common Shares	Borch, Nelson	4	2019-07-25	00		18,008,100	
CB2 Insights Inc.	Options Stock Options	Qureshi, Kashaf	4	2020-08-18	50	0.115	1,584,622	342,055
CB2 Insights Inc.	Options Stock Options	Qureshi, Kashaf	4	2020-08-18	50	0.125	1,926,677	342,055
CB2 Insights Inc.	Options Stock Options	Qureshi, Kashaf	4	2020-08-18	50	0.15	2,268,732	342,055
CB2 Insights Inc.	Options Stock Options	Qureshi, Kashaf	4	2020-08-18	50	0.175	2,610,787	342,055
CB2 Insights Inc.	Options Stock Options	Sekar, Pradyum	4	2020-08-18	50	0.115	1,584,622	342,055
CB2 Insights Inc.	Options Stock Options	Sekar, Pradyum	4	2020-08-18	50	0.125	1,926,677	342,055
CB2 Insights Inc.	Options Stock Options	Sekar, Pradyum	4	2020-08-18	50	0.15	2,268,732	342,055
CB2 Insights Inc.	Options Stock Options	Sekar, Pradyum	4	2020-08-18	50	0.175	2,610,787	342,055
Cervus Equipment Corporation	Common Shares	Sobic, Daniel Dragan	4	2020-08-20	10	6.5837	9,600	700
Cervus Equipment Corporation	Common Shares	Sobic, Daniel Dragan	4	2020-08-20	10	6.5459	10,100	500
Cervus Equipment Corporation	Common Shares	Sobic, Daniel Dragan	4	2020-08-20	10	6.5767	10,200	100
Cervus Equipment Corporation	Common Shares	Sobic, Daniel Dragan	4	2020-08-20	10	6.5459	10,300	100
CES Energy Solutions Corp.	Common Shares	Baxter, Richard Lee	5	2020-08-18	57	0.9776	438,740	21,035
CES Energy Solutions Corp.	Common Shares	Baxter, Richard Lee	5	2020-08-18	10	0.94	433,275	-5,465
CES Energy Solutions Corp.	Restricted Share Units	Baxter, Richard Lee	5	2020-08-18	57	0.9776	1,238,759	-21,035

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CGI Inc.	Options	Lahteenmaa, Leena-Mari	5	2020-08-14	51	48.16	21,645	-4,000
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-08-14	51	48.16	4,000	4,000
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-08-14	10	91.195	3,600	-400
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-08-14	10	91.24	3,500	-100
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-08-14	10	92.07	3,300	-200
CGI Inc.	Subordinate Voting Shares Classe A	Lahteenmaa, Leena-Mari	5	2020-08-14	10	92.105	0	-3,300
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2020-08-18	11	0.15	295,813	242,000
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2020-08-19	90	0.16	54,063	-241,750
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2020-08-19	90	0.16	241,750	241,750
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2020-08-18	11	0.15	1,051,119	-242,000
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2020-08-18	11	0.15		242,000
Champion Bear Resources Ltd.	Common Shares	Kantor, Richard Derrick	3, 4, 5	2020-08-18	11	0.15		242,000
Champion Iron Limited	Common Shares Ordinary Shares (as per Australian securities law)	Devalia, Pradipkumar	5	2020-08-13	10	2.91	242,845	-57,155
Champion Iron Limited	Common Shares Ordinary Shares (as per Australian securities law)	Devalia, Pradipkumar	5	2020-08-18	10	3.05	220,000	-22,845
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Common Shares	Hammer, Russell	5	2020-08-20	36		9,471	9,471
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Rights Restricted Share Awards	Hammer, Russell	5	2020-08-20	36		55,317	-13,336
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Proportionate Voting Shares	Stanley, Jared	4	2020-08-19	11		9,740	-362
Charlotte's Web Holdings, Inc. (formerly Stanley Brothers Holdings Inc.)	Proportionate Voting Shares	Stanley, Joel	4	2020-08-19	11		9,459	-363
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-12	10	5.0106	228,650	14,100
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-13	10	5.847	238,650	10,000
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-14	10	5.9528	271,650	33,000
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-12	10	5.0106	463,249	700
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-14	10	5.9528	464,749	1,500
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-18	10	5.9696	488,261	23,512
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-17	10	5.797	283,950	12,300
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-18	10	5.9696	291,338	7,388
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-19	10	5.8633	299,338	8,000
Chesswood Group Limited	Common Shares	Marr, Ryan	5	2020-08-20	10	5.7039	309,338	10,000

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China Education Resources Inc.	Options	Hon, Chi Tak Danny	4, 5	2020-08-17	50	0.1	1,050,000	350,000
China Education Resources Inc.	Options	Li, Lian	4	2020-08-17	50		310,000	110,000
China Education Resources Inc.	Options	Zhou, Chengfeng	4, 5	2020-08-17	50	0.1	3,224,000	350,000
Choice Properties Real Estate Investment Trust	Trust Units	Wasti, Rashid	7	2020-08-19	10	12.77	43,500	1,500
Choice Properties Real Estate Investment Trust	Trust Units	Weston, W. Galen	7	2020-08-14	11	12.76	16,525,000	16,500,000
Choice Properties Real Estate Investment Trust	Trust Units	Weston, W. Galen	7	2013-06-26	00			
Choice Properties Real Estate Investment Trust	Trust Units	Weston, W. Galen	7	2020-08-14	11	12.76	16,500,000	16,500,000
Choice Properties Real Estate Investment Trust	Trust Units	Weston, W. Galen	7	2020-08-14	11	12.76	0	-16,500,000
Choice Properties Real Estate Investment Trust	Trust Units	Weston, W. Galen	7	2020-08-14	11	12.76	0	-16,500,000
Chorus Aviation Inc.	Rights (Ongoing Long-Term Incentive Plan)	Osborne, Gary James	7	2020-08-17	56	2.64	80,332	16,505
Chorus Aviation Inc.	Options	Peddle, James Bruce	5	2020-08-18	52		0	-369,931
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-08-20	10	0.475	7,450,247	5,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-08-20	10	0.475	7,451,247	1,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-08-20	10	0.475	7,455,247	4,000
CIBT Education Group Inc.	Common Shares	Chu, Toby	4, 5	2020-08-20	10	0.48	7,460,247	5,000
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-08-14	10	0.47	4,060,300	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-08-17	10	0.47	4,062,600	2,300
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-08-18	10	0.47	4,099,100	36,500
CIBT Education Group Inc.	Common Shares	CIBT Education Group Inc	1	2020-08-20	10	0.475	4,101,400	2,300
Cineplex Inc.	Options	Bush, Cindy	5	2020-08-17	50		15,846	15,846
Cineplex Inc.	Performance Share Units	Bush, Cindy	5	2020-08-17	56		12,286	12,101
Cineplex Inc.	Restricted Share Units	Bush, Cindy	5	2020-08-17	56		6,143	6,050
Cineplex Inc.	Options	Fitzgerald, Anne Tunstall	5	2020-08-17	50		117,814	19,167
Cineplex Inc.	Performance Share Units	Fitzgerald, Anne Tunstall	5	2020-08-17	56		21,516	14,636
Cineplex Inc.	Restricted Share Units	Fitzgerald, Anne Tunstall	5	2020-08-17	56		9,742	7,318
Cineplex Inc.	Options	Jacob, Ellis	4, 5	2020-08-17	50		1,261,407	126,984
Cineplex Inc.	Performance Share Units	Jacob, Ellis	4, 5	2020-08-17	56		178,030	96,970
Cineplex Inc.	Restricted Share Units	Jacob, Ellis	4, 5	2020-08-17	56		72,992	48,485
Cineplex Inc.	Options	Kennedy, Michael	5	2020-08-17	50		128,324	16,953
Cineplex Inc.	Performance Share Units	Kennedy, Michael	5	2020-08-17	56		22,607	12,946
Cineplex Inc.	Restricted Share Units	Kennedy, Michael	5	2020-08-17	56		9,758	6,473
Cineplex Inc.	Options	Mandel, Shawn	5	2020-08-17	50		68,785	20,238

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Cineplex Inc.	Performance Share Units	Mandel, Shawn	5	2020-08-17	56		20,953	15,455
Cineplex Inc.	Restricted Share Units	Mandel, Shawn	5	2020-08-17	56		12,631	7,727
Cineplex Inc.	Options	McGrath, Daniel F.	5	2020-08-17	50		313,619	42,343
Cineplex Inc.	Performance Share Units	McGrath, Daniel F.	5	2020-08-17	56		56,422	32,335
Cineplex Inc.	Restricted Share Units	McGrath, Daniel F.	5	2020-08-17	56		24,338	16,167
Cineplex Inc.	Options	Nelson, Gordon	5	2020-08-17	50		214,875	28,663
Cineplex Inc.	Performance Share Units	Nelson, Gordon	5	2020-08-17	56		38,218	21,888
Cineplex Inc.	Restricted Share Units	Nelson, Gordon	5	2020-08-17	56		16,476	10,944
Cineplex Inc.	Options	Stanghieri, Fabrizio	5	2020-08-17	50		87,085	16,190
Cineplex Inc.	Performance Share Units	Stanghieri, Fabrizio	5	2020-08-17	56		19,133	12,364
Cineplex Inc.	Restricted Share Units	Stanghieri, Fabrizio	5	2020-08-17	56		8,713	6,182
Cineplex Inc.	Common Shares	Watts, Kevin David	5	2020-08-17	00		216	
Cineplex Inc.	Options	Watts, Kevin David	5	2020-08-17	00		51,302	
Cineplex Inc.	Performance Share Units	Watts, Kevin David	5	2020-08-17	00		14,193	
Cineplex Inc.	Restricted Share Units	Watts, Kevin David	5	2020-08-17	00		8,088	
Cipher Pharmaceuticals Inc.	Common Shares	Godin, Christian	4	2020-08-15	30	1.14	67,280	1,571
Cipher Pharmaceuticals Inc.	Options	Langille, Scott	5	2020-07-03	00			
Cipher Pharmaceuticals Inc.	Options	Langille, Scott	5	2020-08-12	50	1.43	25,000	25,000
Cipher Pharmaceuticals Inc.	Options	Langille, Scott	5	2020-08-12	56	0.01	50,000	25,000
Cipher Pharmaceuticals Inc.	Common Shares	Wolkin, Harold Morton	4	2020-08-15	30	1.14	256,049	6,625
Circa Enterprises Inc.	Common Shares	Johnston, Robert Bruce	4	2020-08-17	10	0.83	192,485	4,500
CO2 GRO Inc.	Common Shares	Aaron, Archibald	5	2020-08-14	16	0.12	1,148,638	625,000
CO2 GRO Inc.	Warrants	Aaron, Archibald	5	2017-07-01	00			
CO2 GRO Inc.	Warrants	Aaron, Archibald	5	2020-08-14	16		625,000	625,000
CO2 GRO Inc.	Common Shares	Archibald, John	5	2020-08-14	16	0.12	330,155	80,000
CO2 GRO Inc.	Warrants	Archibald, John	5	2017-11-01	00			
CO2 GRO Inc.	Warrants	Archibald, John	5	2020-08-14	16		80,000	80,000
CO2 GRO Inc.	Common Shares	Boyd, Michael Manford	4	2020-08-17	11	0.12	426,581	166,667
CO2 GRO Inc.	Warrants	Boyd, Michael Manford	4	2020-08-17	11		370,581	166,667
CO2 GRO Inc.	Common Shares	GAGE, ROSE MARIE	4	2020-08-14	16	0.12	417,200	250,000
CO2 GRO Inc.	Warrants	GAGE, ROSE MARIE	4	2019-04-29	00			
CO2 GRO Inc.	Warrants	GAGE, ROSE MARIE	4	2020-08-14	16		250,000	250,000
CO2 GRO Inc.	Common Shares	Gledhill, Stephen Mark	5	2020-08-14	16	0.12	102,499	100,000
CO2 GRO Inc.	Warrants	Gledhill, Stephen Mark	5	2018-01-19	00			
CO2 GRO Inc.	Warrants	Gledhill, Stephen Mark	5	2020-08-14	16		100,000	100,000
CO2 GRO Inc.	Common Shares	JULIUS, MATTHEW	5	2019-07-10	00			
CO2 GRO Inc.	Common Shares	JULIUS, MATTHEW	5	2020-08-14	16	0.12	10,000	10,000
CO2 GRO Inc.	Warrants	JULIUS, MATTHEW	5	2019-07-10	00			
CO2 GRO Inc.	Warrants	JULIUS, MATTHEW	5	2020-08-14	16		10,000	10,000
CO2 GRO Inc.	Common Shares	kane, samuel	4	2020-08-14	16	0.12	3,320,951	225,028
CO2 GRO Inc.	Warrants	kane, samuel	4	2020-08-14	16			225,028
CO2 GRO Inc.	Warrants	kane, samuel	4	2020-08-14	16		225,028	225,028

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CO2 GRO Inc.	Common Shares	Ospiraie Ag Science LLC	3	2020-08-14	00		10,000,000	
CO2 GRO Inc.	Warrants	Ospiraie Ag Science LLC	3	2020-08-14	00		10,000,000	
CO2 GRO Inc.	Common Shares	Surgeoner, Gordon Allen	4	2020-08-14	16	0.12	92,394	42,000
CO2 GRO Inc.	Warrants	Surgeoner, Gordon Allen	4	2018-03-26	00			
CO2 GRO Inc.	Warrants	Surgeoner, Gordon Allen	4	2020-08-14	16			42,000
CO2 GRO Inc.	Warrants	Surgeoner, Gordon Allen	4	2020-08-14	16		42,000	42,000
Colabor Group Inc.	Convertible Debentures 6.00% EchOance le 13 octobre 2021	Briscoe, Robert John	3, 4, 5	2020-08-12	10	81.25	\$185,000	\$45,000
Colabor Group Inc.	Convertible Debentures 6.00% EchOance le 13 octobre 2021	Briscoe, Robert John	3, 4, 5	2020-08-13	10	81.23	\$235,000	\$50,000
Cominar Real Estate Investment Trust	Trust Units	George, Zachary R.	4	2020-08-20	10	7.18	947,060	5,000
Cominar Real Estate Investment Trust	Trust Units	George, Zachary R.	4	2020-08-20	10	7.1759	5,465,072	43,518
Cominar Real Estate Investment Trust	Trust Units	George, Zachary R.	4	2020-08-20	10	7.1759	4,488,455	36,111
Cominar Real Estate Investment Trust	Trust Units	George, Zachary R.	4	2020-08-20	10	7.176	1,915,938	15,371
Cominar Real Estate Investment Trust	Trust Units	Laflamme, Karen	4	2020-05-13	00			
Cominar Real Estate Investment Trust	Trust Units	Laflamme, Karen	4	2020-08-19	10	7.04	10,000	10,000
Computer Modelling Group Ltd.	Common Shares	Nghiem, Long X	5	2020-08-17	10	5.505	720,602	-7,500
Comstock Metals Ltd.	Warrants	Select Sands Corp.	3	2020-07-03	55		0	-2,635,400
Condor Gold plc	Ordinary Shares	Mellon, James	4	2020-08-14	10	0.505	15,662,080	125,000
Constantine Metal Resources Ltd.	Common Shares	Tognetti, John	3	2020-08-14	10	0.24	6,645,421	-11,000
Constellation Software Inc.	Common Shares	Symons, Barry Alan	5	2020-04-08	30	1327.3	2,998	3
Constellation Software Inc.	Common Shares	Symons, Barry Alan	5	2020-07-13	30	1604	3,001	3
Converge Technology Solutions Corp.	Common Shares	Garcea, Ralph	4	2019-06-14	00			
Converge Technology Solutions Corp.	Common Shares	Garcea, Ralph	4	2020-08-20	10	1.61	50,000	50,000
Cornish Metals Inc.	Options	Armstrong, Kenneth Andrew	4, 5	2020-08-18	50	0.1	1,400,000	550,000
Cornish Metals Inc.	Options	Mihalop, Owen Daniel	7	2020-08-18	50	0.1	1,250,000	750,000
Cornish Metals Inc.	Common Shares	Njegovan, Donald Robert	4	2020-02-03	16	0.05	400,000	300,000
Cornish Metals Inc.	Options	Njegovan, Donald Robert	4	2018-10-05	00			
Cornish Metals Inc.	Options	Njegovan, Donald Robert	4	2020-08-18	50		1,000,000	1,000,000
Cornish Metals Inc.	Warrants	Njegovan, Donald Robert	4	2019-06-28	55		0	-300,000
Cornish Metals Inc.	Warrants	Njegovan, Donald Robert	4	2020-02-03	16		150,000	150,000
Cornish Metals Inc.	Options	Williams, Richard David	4	2020-08-18	50	0.1	2,250,000	800,000
Crescita Therapeutics Inc.	Options	Copeland, David A.	4	2020-08-17	50	0.6	64,653	10,000
Crescita Therapeutics Inc.	Options	DaRocha, Jose	4, 5	2020-08-17	50	0.6	270,000	60,000
Crescita Therapeutics Inc.	Options	Dobranowski, Anthony Edward	4	2020-08-17	50	0.6	64,653	10,000

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Crescita Therapeutics Inc.	Options	Dugal, Alain	5	2020-08-17	50	0.6	125,000	20,000
Crescita Therapeutics Inc.	Options	Hull, Wade	5	2020-08-17	50	0.6	225,000	20,000
Crescita Therapeutics Inc.	Options	London, John	4	2020-08-17	50	0.6	170,838	10,000
Crescita Therapeutics Inc.	Options	Schlader, Thomas	4	2020-08-17	50	0.6	67,730	10,000
Crescita Therapeutics Inc.	Options	Tremblay, Jean-Francois	4	2020-08-17	50	0.6	30,000	10,000
Crescita Therapeutics Inc.	Options	Verreault, Serge	5	2020-08-17	50	0.6	630,000	180,000
Crescita Therapeutics Inc.	Options	Villeneuve, Isabelle	5	2020-08-17	50	0.6	100,000	25,000
Crew Energy Inc.	Common Shares	Shwed, Dale Orest	5	2020-08-19	10	0.4298	1,017,500	100,000
CRH Medical Corporation	Common Shares	Kreger, James	5	2020-08-12	57	3.38	63,500	25,000
CRH Medical Corporation	Common Shares	Kreger, James	5	2020-08-17	10	2.68	53,600	-9,900
CRH Medical Corporation	Options	Kreger, James	5	2020-08-12	57		330,000	-25,000
Cronos Group Inc.	Common Shares	JACOBSON, JEFFREY DAVID	5	2020-08-14	97			-2,500
Cronos Group Inc.	Common Shares	JACOBSON, JEFFREY DAVID	5	2020-08-14	97			-2,500
Cronos Group Inc.	Common Shares	JACOBSON, JEFFREY DAVID	5	2020-08-14	97		4,500	-2,500
Crown Capital Partners Inc.	Rights Director Deferred Share Units	Sharpe, Steven Blair	4	2020-08-17	56		5,939	5,939
CryptoStar Corp.	Options	Lorenz, Warren	4	2020-08-14	00			
CryptoStar Corp.	Options	Lorenz, Warren	4	2020-08-14	50	0.05	600,000	600,000
CryptoStar Corp.	Options	Madhavji, Alykhan	4	2020-08-14	00			
CryptoStar Corp.	Options	Madhavji, Alykhan	4	2020-08-14	50	0.05	600,000	600,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-14	10	0.135	1,376,000	500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-14	10	0.135	1,400,000	24,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-14	10	0.135	1,400,500	500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-14	10	0.135	1,407,000	6,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-17	10	0.135	1,437,000	30,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-17	10	0.135	1,452,000	15,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-18	10	0.14	1,460,500	8,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-18	10	0.14	1,462,000	1,500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-18	10	0.14	1,462,500	500
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-18	10	0.14	1,520,500	58,000
CWC Energy Services Corp.	Common Shares	CWC Energy Services Corp.	1	2020-08-19	10	0.14	1,522,000	1,500
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-17	10	3.04		-15,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-17	10	3.04		-15,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-18	10	0.081	7,574,000	148,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-18	10	3.12		-4,800
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-18	10	3.12		-4,800

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Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-18	10	3.125		-200
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-18	10	3.125		-200
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-18	10	3.04		-10,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-18	10	3.04		-10,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-19	10	0.08	7,626,000	52,000
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-19	10	3.12		-1,200
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-19	10	3.12		-1,200
Cypherpunk Holdings Inc.	Common Shares	Guoga, Antanas (Tony)	4, 5	2020-08-21	10	0.09	7,826,000	200,000
DATA Communications Management Corp.	Deferred Share Units	Albino, William	4	2020-08-17	56		100,803	29,412
DATA Communications Management Corp.	Deferred Share Units	Jones, Merri	4	2020-08-17	56		100,803	29,412
DATA Communications Management Corp.	Deferred Share Units	Murray, James John	4	2020-08-17	56		100,803	29,412
DATA Communications Management Corp.	Deferred Share Units	Sifton, Michael	3, 4, 5	2020-08-17	56		100,803	29,412
DATA Communications Management Corp.	Deferred Share Units	Ward, J. R. Kingsley	4	2020-08-17	56		336,007	98,039
DATA Communications Management Corp.	Deferred Share Units	Watchorn, Derek John	4	2020-08-17	56		241,925	70,588
DataMetrex AI Limited (previously, Everfront Ventures Corp.)	Common Shares	Shapiro, Todd Michael	4	2020-08-13	10	0.16	0	-30,000
Deer Horn Capital Inc. (Formerly Deer Horn Metals Inc.)	Common Shares	Docherty, Tyrone Mark	4	2020-08-18	10	0.11	3,472,290	17,000
Deer Horn Capital Inc. (Formerly Deer Horn Metals Inc.)	Common Shares	Docherty, Tyrone Mark	4	2020-08-19	10	0.11	3,510,290	38,000
Denison Mines Corp.	Common Shares	Schoonderwoerd, Michael James	5	2020-08-13	51	0.55	24,864	20,000
Denison Mines Corp.	Options	Schoonderwoerd, Michael James	5	2020-08-13	51	0.55	1,260,498	-20,000
Desert Mountain Energy Corp.	Common Shares	mosher, don	4	2020-08-14	00		125,000	
Desert Mountain Energy Corp.	Options	mosher, don	4	2020-08-14	00		150,000	
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-08-10	10		1,893,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-08-12	10		1,895,000	2,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-08-14	10		1,896,500	1,500
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-08-17	10		1,902,500	6,000
DGTL Holdings Inc. (formerly Conscience Capital Inc.)	Common Shares	Belfontaine, John David Alexander	3, 4, 5	2020-08-18	10		1,905,500	3,000
Diagnos Inc.	Common Shares	Coffin, Tristram	3	2020-08-18	10	0.14	2,301,934	15,000

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Diamond Estates Wines & Spirits Inc.	Deferred Share Units	Beutel, David Michael	4	2020-08-20	56	0.14	742,774	32,143
Diamond Estates Wines & Spirits Inc.	Deferred Share Units	De Sousa, Joao (John)	4	2020-08-20	46	0.14	376,370	20,759
Diamond Estates Wines & Spirits Inc.	Deferred Share Units	Hick, John Walter Wallen	4	2020-08-20	46	0.14	421,250	22,433
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-08-14	38	11.857	620,100	1,100
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-08-18	38	12.035	620,500	400
Digital Consumer Dividend Fund	Trust Units	Digital Consumer Dividend Fund	1	2020-08-19	38	12.026	621,200	700
Dimension Five Technologies Inc.	Common Shares	Zimtu Capital Corp.	3	2020-08-17	11	0.05	4,260,000	-2,000,000
Docebo Inc.	Common Shares	Artuffo, Alessio	5	2019-10-01	00			
Docebo Inc.	Common Shares	Artuffo, Alessio	5	2020-08-19	51	49.806	90,000	90,000
Docebo Inc.	Options	Artuffo, Alessio	5	2020-08-19	51	49.806	423,824	-90,000
dynaCERT Inc. (formerly Dynamic Fuel Systems Inc.)	Common Shares	Colin, Jean-Pierre	4	2020-08-20	10	0.73	0	-300,000
Dynacor Gold Mines Inc.	Common Shares	Branchaud, Ren�	5	2020-08-20	51	1.56	129,605	25,000
Dynacor Gold Mines Inc.	Options	Branchaud, Ren�	5	2020-08-20	51	1.56	12,500	-25,000
Dynacor Gold Mines Inc.	Common Shares	Chave, Philippe	4	2020-08-12	00		90,000	
Dynacor Gold Mines Inc.	Common Shares	Chave, Philippe	4	2020-08-12	00		850,175	
Dynacor Gold Mines Inc.	Options	Chave, Philippe	4	2020-08-12	00			
Dynacor Gold Mines Inc.	Options	Chave, Philippe	4	2020-08-17	50		25,000	25,000
Dynacor Gold Mines Inc.	Common Shares	Demers, Roger	4	2020-08-20	51	1.56	26,000	25,000
Dynacor Gold Mines Inc.	Options	Demers, Roger	4	2020-08-20	51	1.56	12,500	-25,000
Dynacor Gold Mines Inc.	Common Shares	Teoli, Leonard	5	2020-08-20	51	1.56	302,200	75,000
Dynacor Gold Mines Inc.	Options	Teoli, Leonard	5	2020-08-20	51	1.56	60,000	-75,000
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2019-12-30	38		0	-121,900
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2020-02-28	38	5.4091	125,331	125,331
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2020-03-06	38	5.0738	534,993	125,331
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2020-03-18	38	2.9107	1,273,624	125,331
ECN Capital Corp.	Common Shares	ECN CAPITAL CORP.	1	2020-03-31	38		0	-1,273,624
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-08-18	51	2.46	263,400	138,400
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-08-18	51	2.46	196,379	-67,021
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-08-18	10	4.9217	125,000	-71,379
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-08-13	10	5.55	12,961,385	-200,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-08-14	10	5.1443	12,861,385	-100,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-08-17	10	5.1393	12,811,385	-50,000
ECN Capital Corp.	Common Shares	Hudson, Steven Kenneth	4, 5	2020-08-18	10	5.0288	12,661,385	-150,000
ECN Capital Corp.	Options	Hudson, Steven Kenneth	4, 5	2020-08-18	51		3,224,625	-138,400
Eguana Technologies Inc.	Warrants	DHCT II Luxembourg S.a.r.l.	3	2019-09-29	55		5,238,095	-625,000
Eguana Technologies Inc.	Options	Harris, Brent Earle	5	2019-01-07	52		988,811	-35,000

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Eguana Technologies Inc.	Options	Harris, Brent Earle	5	2020-07-13	50	0.15	1,288,811	300,000
Eguana Technologies Inc.	Options	Holland, Justin	4, 5	2020-07-13	50	0.15	2,165,264	600,000
Eguana Technologies Inc.	Options	Holland, Justin	4, 5	2020-08-03	52		2,115,264	-50,000
Eguana Technologies Inc.	Options	Kuehne, Sonja	5	2020-07-13	50	0.15	375,000	275,000
Eldorado Gold Corporation	Common Shares	Allaway, Cara Lea	5	2020-08-19	30	15.127	1,244	33
Eldorado Gold Corporation	Common Shares	Aram, Karen Christine	5	2020-08-19	30	15.127	3,088	82
Eldorado Gold Corporation	Common Shares	Burns, George Raymond	4, 5	2020-08-19	30	15.127	22,577	275
Eldorado Gold Corporation	Common Shares	CHO, JASON	5	2020-08-19	30	15.127	7,241	84
Eldorado Gold Corporation	Common Shares	Houston, Samuel Allen	5	2020-08-19	30	15.127	575	143
Eldorado Gold Corporation	Common Shares	Yee, Philip Chow	5	2020-08-19	30	15.127	3,210	84
Elixer Ltd.	Common Shares	Alhaidary, Tarik	4	2020-07-24	00		2,400,000	
Elixer Ltd.	Options	Ghafari, Mohammed	4	2020-08-18	52		1,700,000	-3,000,000
Elixer Ltd.	Options	Haddad, Mazen	4	2020-08-18	52		3,300,000	-9,000,000
Elixer Ltd.	Options	Hazan, Rafi	4, 5	2020-08-18	52		1,673,000	-3,000,000
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Bento, Marilia	4	2020-08-13	16	0.14	550,000	250,000
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Bento, Marilia	4	2020-08-13	16	0.14	275,000	125,000
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Gower, David Patrick	4	2020-08-13	16	0.14	1,668,337	412,137
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Gower, David Patrick	4	2020-08-13	16	0.14	406,068	206,068
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Guy, Michael Lawrence	4	2020-08-13	16	0.14	776,426	376,426
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Guy, Michael Lawrence	4	2018-10-10	00			
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Guy, Michael Lawrence	4	2020-08-13	16	0.14	400,000	400,000
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Guy, Michael Lawrence	4	2020-08-13	16	0.14	388,212	188,212
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Guy, Michael Lawrence	4	2018-10-10	00			
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Guy, Michael Lawrence	4	2020-08-13	16	0.14	200,000	200,000
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Lopez, Damian	5	2020-08-13	16	0.14	542,857	142,857
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Lopez, Damian	5	2020-08-13	16	0.14	271,428	71,428
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Merino-Marquez, Joaquin	5	2020-08-13	16	0.14	1,595,700	535,700
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Merino-Marquez, Joaquin	5	2020-08-13	16	0.14	717,850	267,850

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Emerita Resources Corp. (formerly Emerita Gold Corp.)	Common Shares	Stretch, Catherine	4	2020-08-13	16	0.14	1,015,882	250,000
Emerita Resources Corp. (formerly Emerita Gold Corp.)	Warrants	Stretch, Catherine	4	2020-08-13	16	0.15	475,000	125,000
Empire Company Limited	Non-Voting Shares Class A	Vels, Michael Harold	5	2020-08-12	57		99,652	19,885
Empire Company Limited	Rights PSU (Performance Share Units)	Vels, Michael Harold	5	2020-08-12	57		34,019	-18,603
Enerflex Ltd.	Options	Bishnoi, Sanjay	5	2020-08-17	50	5.51	270,647	110,302
Enerflex Ltd.	Rights Performance Share Units	Bishnoi, Sanjay	5	2020-08-17	56		124,614	86,080
Enerflex Ltd.	Rights Restricted Share Units	Bishnoi, Sanjay	5	2019-09-09	00			
Enerflex Ltd.	Rights Restricted Share Units	Bishnoi, Sanjay	5	2020-08-17	56		43,040	43,040
Enerflex Ltd.	Options	Izett, David Hamilton	5	2020-08-17	50	5.51	130,958	53,372
Enerflex Ltd.	Rights Performance Share Units	Izett, David Hamilton	5	2020-08-17	56		60,298	41,652
Enerflex Ltd.	Rights Restricted Share Units	Izett, David Hamilton	5	2019-09-09	00			
Enerflex Ltd.	Rights Restricted Share Units	Izett, David Hamilton	5	2020-08-17	56		20,826	20,826
Enerflex Ltd.	Options	Martinez, Patricia	5	2020-08-17	50	5.51	526,474	99,527
Enerflex Ltd.	Rights Performance Share Units	Martinez, Patricia	5	2020-08-17	56		132,968	77,671
Enerflex Ltd.	Rights Restricted Share Units	Martinez, Patricia	5	2020-08-17	56		38,835	38,835
Enerflex Ltd.	Rights Cash Performance Target Plan 2019	Paravi, Anna	7	2020-08-15	59		2,583	-1,291
Enerflex Ltd.	Rights Cash Performance Target Plan 2020	Paravi, Anna	7	2011-06-01	00			
Enerflex Ltd.	Rights Cash Performance Target Plan 2020	Paravi, Anna	7	2020-08-17	56		9,602	9,602
Enerflex Ltd.	Rights Performance Share Units	Pyle, Phillip	5	2020-08-17	56		46,701	27,199
Enerflex Ltd.	Rights Phantom Share Entitlement	Pyle, Phillip	5	2020-08-17	56	5.51	198,205	34,853
Enerflex Ltd.	Rights Restricted Share Units	Pyle, Phillip	5	2014-06-01	00			
Enerflex Ltd.	Rights Restricted Share Units	Pyle, Phillip	5	2020-08-17	56		13,599	13,599
Enerflex Ltd.	Options	Rossiter, Marc Edward	5	2020-08-17	50	5.51	1,015,566	327,035
Enerflex Ltd.	Rights Performance Share Units	Rossiter, Marc Edward	5	2020-08-17	56		466,176	255,218
Enerflex Ltd.	Rights Restricted Share Units	Rossiter, Marc Edward	5	2020-08-17	56		127,609	127,609
Enerflex Ltd.	Options	Stewart, Gregory Dean	5	2020-08-17	50	5.51	530,871	98,684
Enerflex Ltd.	Rights Performance Share Units	Stewart, Gregory Dean	5	2020-08-17	56		131,773	77,013
Enerflex Ltd.	Rights Restricted Share Units	Stewart, Gregory Dean	5	2011-06-01	00			
Enerflex Ltd.	Rights Restricted Share Units	Stewart, Gregory Dean	5	2020-08-17	56		38,506	38,506
Enghouse Systems Limited	Common Shares	Drury, Reid	4	2019-01-25	37		201,000	100,500
Enghouse Systems Limited	Common Shares	Drury, Reid	4	2020-06-22	10	71.32	125,900	-25,000

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Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Common Shares	Cox, Darren	4, 5	2020-08-13	37		103,333	-1,446,667
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Options	Cox, Darren	4, 5	2020-08-13	52		625,000	-32,666
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Options	Cox, Darren	4, 5	2020-08-13	37		583,959	-41,041
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Common Shares	Liabotis, Peter	4	2020-08-13	37		23,667	-331,333
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Options	Liabotis, Peter	4	2020-08-13	37	0.75	20,834	-291,666
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Liabotis, Peter	4	2020-08-19	56		16,384	16,384
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Warrants	Liabotis, Peter	4	2020-08-13	37		9,333	-130,667
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Munoz, Michael	5	2020-05-08	00			
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Munoz, Michael	5	2020-08-19	56		31,746	31,746
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Ratner, Hank	4	2020-07-15	00			
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Ratner, Hank	4	2020-08-19	56		11,954	11,954
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Reyhani, Bryan	4	2020-08-19	56		16,773	16,773
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Rogers, Thomas	4, 5	2020-05-08	00			
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Rogers, Thomas	4, 5	2020-08-19	56		113,095	113,095
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Schwartz, Louis Craig	4, 5	2020-05-08	00			
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Schwartz, Louis Craig	4, 5	2020-08-19	56		147,619	147,619
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Zenz, Steven	4	2020-05-08	00			
Engine Media Holdings, Inc. (formerly Torque Esports Corp.)	Restricted Share Units	Zenz, Steven	4	2020-08-19	56		14,764	14,764
Equinox Gold Corp.	Common Shares	Reddy, Doug	5	2020-08-20	51	8.62	79,009	7,100
Equinox Gold Corp.	Common Shares	Reddy, Doug	5	2020-08-20	10	17.75	71,909	-7,100
Equinox Gold Corp.	Common Shares	Reddy, Doug	5	2020-08-21	51	8.62	96,909	25,000
Equinox Gold Corp.	Common Shares	Reddy, Doug	5	2020-08-21	10	17.65	71,909	-25,000
Equinox Gold Corp.	Options	Reddy, Doug	5	2020-08-20	51	8.62	673,433	-7,100
Equinox Gold Corp.	Options	Reddy, Doug	5	2020-08-21	51	8.62	648,433	-25,000
Ero Copper Corp.	Common Shares	richard, michel	5	2020-08-17	10		2,050,000	-69,200
Eskay Mining Corp	Common Shares	Balkam, Hugh McLellan	4	2020-08-13	16	0.17	8,012,376	472,588
Eskay Mining Corp	Common Shares	Balkam, Hugh McLellan	4	2020-08-13	16	0.17	5,064,969	1,657,541
Eskay Mining Corp	Common Shares	Weis, Thomas V.	4	2020-08-11	00			
Eskay Mining Corp	Options	Weis, Thomas V.	4	2019-09-04	50	0.095	200,000	200,000
Eskay Mining Corp	Options	Weis, Thomas V.	4	2020-06-24	50	0.24	700,000	500,000

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EsKay Mining Corp	Options	Weis, Thomas V.	4	2020-08-11	00			
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-08-17	10	6.8	664,420	7,000
ESSA Pharma Inc.	Common Shares	BERGER, FRANKLIN MILAN	4	2020-08-17	10	6.8	764,420	100,000
Exco Technologies Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-08-17	10	6.355	7,105,300	5,000
Exco Technologies Limited	Common Shares	Kernaghan, Edward Hume	3, 4	2020-08-17	10	6.35	7,125,300	20,000
Exco Technologies Limited	Common Shares	Robbins, Brian Andrew	3, 4, 5	2020-08-14	90	8.35	613,607	3,165
Exco Technologies Limited	Common Shares	Robbins, Brian Andrew	3, 4, 5	2020-08-14	10	6.4985	4,406,546	10,000
Exco Technologies Limited	Common Shares	Robbins, Brian Andrew	3, 4, 5	2020-08-17	10	6.416	4,416,546	10,000
Exco Technologies Limited	Common Shares	Robbins, Brian Andrew	3, 4, 5	2020-08-14	90	8.35	190,837	-3,165
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Restricted Share Units	Te Niet, Willem Jan	5	2020-08-17	57	5.16	92,289	-5,000
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Te Niet, Willem Jan	5	2020-08-17	57	5.16	7,635	5,000
EXFO Inc. (formerly know as EXFO Electro-Optical Engineering Inc.)	Subordinate Voting Shares	Te Niet, Willem Jan	5	2020-08-17	10	5.16	4,986	-2,649
EXMceuticals Inc.	Common Shares	Summers, Jonathan	5	2020-08-17	36	0.35	14,844,818	839,286
Extendicare Inc.	Common Shares	Barazzuol, Renzo	6	2020-08-18	10	5.5987	4,318,476	10,000
Extendicare Inc.	Common Shares	Barazzuol, Renzo	6	2020-08-19	10	5.5924	4,323,476	5,000
Extendicare Inc.	Common Shares	GILL, NAVDEEP KAUR	6	2020-08-18	10	5.5987	4,318,476	10,000
Extendicare Inc.	Common Shares	GILL, NAVDEEP KAUR	6	2020-08-19	10	5.5924	4,323,476	5,000
Extendicare Inc.	Common Shares	Manji, Salim	6	2020-08-18	10	5.5987	4,318,476	10,000
Extendicare Inc.	Common Shares	Manji, Salim	6	2020-08-19	10	5.5924	4,323,476	5,000
Extendicare Inc.	Common Shares	Manji, Samir Aziz	4	2020-08-18	10	5.5987	4,318,476	10,000
Extendicare Inc.	Common Shares	Manji, Samir Aziz	4	2020-08-19	10	5.5924	4,323,476	5,000
Extendicare Inc.	Common Shares	Mir, Ali Mohammad	7	2019-05-13	00			
Extendicare Inc.	Common Shares	Mir, Ali Mohammad	7	2020-08-18	10	5.5983	6,750	6,750
Extendicare Inc.	Common Shares	Sandpiper Asset Management Inc.	3	2020-08-18	10	5.5987	4,318,476	10,000
Extendicare Inc.	Common Shares	Sandpiper Asset Management Inc.	3	2020-08-19	10	5.5924	4,323,476	5,000
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Wilgar, James (Jay) Warren Bennett	4	2020-08-04	10	20.53	66,030	-5,500
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Wilgar, James (Jay) Warren Bennett	4	2020-08-13	10	20.09	63,830	-2,200
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Wilgar, James (Jay) Warren Bennett	4	2020-08-13	10	20.1	63,530	-300
Facedrive Inc. (formerly High Mountain Capital Corporation)	Common Shares	Wilgar, James (Jay) Warren Bennett	4	2020-08-18	10	19.1	61,530	-2,000
FansUnite Entertainment Inc. (formerly, HIC Horizon Investments Capital Ltd.)	Common Shares	Grove, Christopher	4	2020-08-11	00		405,155	

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FansUnite Entertainment Inc. (formerly, HIC Horizon Investments Capital Ltd.)	Options	Grove, Christopher	4	2020-08-11	00		335,878	
Fennec Pharmaceuticals Inc.	Common Shares	Andrade, Robert Christopher	5	2020-08-13	10	1.85	346,011	323,961
Fennec Pharmaceuticals Inc.	Common Shares	Andrade, Robert Christopher	5	2020-08-13	10	6.17	248,875	-97,136
Fennec Pharmaceuticals Inc.	Common Shares	Andrade, Robert Christopher	5	2020-08-13	10	5.77	210,047	-38,828
Fennec Pharmaceuticals Inc.	Common Shares	Andrade, Robert Christopher	5	2020-08-14	10	5.68	171,147	-38,900
Fennec Pharmaceuticals Inc.	Common Shares	Andrade, Robert Christopher	5	2020-08-17	10	5.71	158,273	-12,874
Fennec Pharmaceuticals Inc.	Common Shares	Raykov, Rostislav Christov	4, 5	2020-08-13	10	1.85	2,541,011	323,961
Fennec Pharmaceuticals Inc.	Common Shares	Raykov, Rostislav Christov	4, 5	2020-08-13	10	6.17	2,443,875	-97,136
Fennec Pharmaceuticals Inc.	Common Shares	Raykov, Rostislav Christov	4, 5	2020-08-13	10	5.77	2,405,944	-37,931
Fennec Pharmaceuticals Inc.	Common Shares	Raykov, Rostislav Christov	4, 5	2020-08-14	10	5.68	2,367,931	-38,013
Fennec Pharmaceuticals Inc.	Common Shares	Raykov, Rostislav Christov	4, 5	2020-08-17	10	5.71	2,355,838	-12,093
Fiera Capital Corporation	Subordinate Voting Shares Class A	FIERA CAPITAL S.E.C.	3	2020-08-19	11		5,023,081	-313,762
Filo Mining Corp.	Options	Beck, James Andrew	5	2020-08-17	50	1.91	1,100,000	350,000
Filo Mining Corp.	Options	Bitelli, Alessandro	4	2020-08-17	50	1.91	445,000	75,000
Filo Mining Corp.	Options	Carmichael, Robert Gordon	5	2020-08-17	50	1.91	723,000	98,000
Filo Mining Corp.	Options	Charchafie, Diego	7	2020-08-17	50		290,000	85,000
Filo Mining Corp.	Options	Johnston, Erin Elizabeth	4	2020-06-18	00		10,000	
Filo Mining Corp.	Options	Johnston, Erin Elizabeth	4	2020-08-17	50	1.91	85,000	75,000
Filo Mining Corp.	Options	Lundin, Adam Ian	4, 5	2020-08-17	50		1,125,000	75,000
Filo Mining Corp.	Options	Lundin, Lukas Henrik	4, 5	2020-08-17	50		445,000	75,000
Filo Mining Corp.	Options	Nowak, Brenda Ruth	5	2020-08-17	50	1.91	155,000	30,000
Filo Mining Corp.	Options	Wodzicki, Wojtek Alexander	4, 5	2020-08-17	50	1.91	1,010,000	75,000
Filo Mining Corp.	Options	Yip, Jeffrey Patrick	5	2020-08-17	50	1.91	715,000	90,000
Fiorentina Minerals Inc.	Common Shares	Povey, Michael	4	2020-07-10	00		750,000	
Fiorentina Minerals Inc.	Options	Povey, Michael	4	2020-07-10	00		650,000	
Fiorentina Minerals Inc.	Common Shares	Straw, Charles	4	2020-07-10	00		1,039,780	
Fiorentina Minerals Inc.	Options	Straw, Charles	4	2020-07-10	00		650,000	
Firan Technology Group Corporation	Common Shares	Crichton, James	5	2020-08-17	10	1.72	24,300	6,475
Firm Capital Mortgage Investment Corporation	Common Shares	Baril, Boris	5	2020-08-14	50	11.7		80,000
Firm Capital Mortgage Investment Corporation	Common Shares	Baril, Boris	5	2020-08-14	50	11.7		80,000
Firm Capital Mortgage Investment Corporation	Options	Baril, Boris	5	2018-03-29	00			
Firm Capital Mortgage Investment Corporation	Options	Baril, Boris	5	2020-08-14	50	11.7	80,000	80,000
Firm Capital Mortgage Investment Corporation	Options	BLEDDIN, GEOFFREY	4	2020-08-14	50	11.7	85,000	50,000

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Firm Capital Mortgage Investment Corporation	Options	Dadouch, Eli	4, 5	2020-08-14	50	11.7	905,000	500,000
Firm Capital Mortgage Investment Corporation	Options	Fischtein, Morris	4	2020-08-14	50	11.7	50,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Fried, Joseph	5	2020-08-14	50	11.7	50,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Gilbert, Edward Allen	4	2020-08-14	50	11.7	50,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Goldfarb, Stanley	4	2020-08-14	50	11.7	95,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Granovski, Victoria Shai	4, 5	2020-08-14	50	11.7	82,500	80,000
Firm Capital Mortgage Investment Corporation	Options	Heller, Anthony	4	2020-08-14	50	11.7	85,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Mair, Jonathon	4, 5	2020-08-14	50	11.7	260,000	180,000
Firm Capital Mortgage Investment Corporation	Options	Newbould, Francis J.C.	4	2020-08-14	50	11.7	85,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Oliver, Joseph	4	2020-08-14	50	11.7	85,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Poklar, Sandy Ivan	5	2020-08-14	50	11.7	150,000	150,000
Firm Capital Mortgage Investment Corporation	Options	Ray, Keith L.	4	2020-08-14	50	11.7	85,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Shulman, Lawrence Morley	4	2020-08-14	50	11.7	85,000	50,000
Firm Capital Mortgage Investment Corporation	Options	Warner, Michael Anthony	4, 5	2020-08-14	50	11.7	195,000	150,000
First Capital Real Estate Investment Trust	Class B Units of FCR LP exchangeable 1 for 1 for Trust Units	Segal, Dori	4	2020-08-18	36		0	-1,055,068
First Capital Real Estate Investment Trust	Trust Units	Segal, Dori	4	2020-08-18	36		1,110,718	1,055,068
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2020-08-17	10	15.85	45,000	5,000
First Majestic Silver Corp.	Common Shares	Anthony, Todd Olson	5	2020-08-18	10	15.95	50,000	5,000
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2019-09-20	00			
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2020-08-13	10	15.62	-2,000	-2,000
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2020-08-13	10	15.59	-4,000	-2,000
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2020-08-13	10	15.5	-6,000	-2,000
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2020-08-13	10	15.67	-8,500	-2,500
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2020-08-13	10	15.93	-12,500	-4,000
First Majestic Silver Corp.	Common Shares	Hsia, Sophie Emmanuelle	5	2020-08-17	51	10.34	0	12,500
First Majestic Silver Corp.	Options	Hsia, Sophie Emmanuelle	5	2020-08-17	51	10.34	157,500	-12,500

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FPX Nickel Corp. (formerly First Point Minerals Corp.)	Options	Harshaw, Stuart	4	2020-08-17	00		250,000	
Franco-Nevada Corporation	Common Shares	Farrow, Catharine Elizabeth Goddard	4	2020-08-17	51	58.67	5,301	5,000
Franco-Nevada Corporation	Common Shares	Farrow, Catharine Elizabeth Goddard	4	2020-08-17	10	199.51	301	-5,000
Franco-Nevada Corporation	Options	Farrow, Catharine Elizabeth Goddard	4	2020-08-17	51	58.67	20,000	-5,000
Freeform Capital Partners Inc.	Common Shares	CLARK, BRYCE	4	2020-08-14	11		0	-200,000
Freshii Inc.	Subordinate Voting Shares Class A	Smith, Stephen A.	4	2020-08-18	10		10,000	5,000
Frontera Energy Corporation	Common Shares	Pineros Ospina, Alejandro	5	2018-05-14	00			
Frontera Energy Corporation	Common Shares	Pineros Ospina, Alejandro	5	2020-08-10	10	2.2154	16,000	16,000
Frontera Energy Corporation	Common Shares	Pineros Ospina, Alejandro	5	2020-08-20	10	2.2	20,000	4,000
G2 Goldfields Inc.	Common Shares	Noone, Daniel Joseph	4, 5	2020-08-17	10	0.7225	664,800	80,000
Gaia Grow Corp. (formerly "Spirit Bear Capital Corp")	Common Shares	Transcend Capital Inc.	3	2020-08-21	11		50,184,000	-6,273,000
Galane Gold Ltd.	Common Shares	Bhalla, Amar	4	2020-08-13	54	0.05	4,125,000	2,000,000
Galane Gold Ltd.	Common Shares	Bhalla, Amar	4	2020-08-19	54	0.05	17,239,689	4,000,000
Galane Gold Ltd.	Warrants	Bhalla, Amar	4	2020-08-13	54		0	-2,000,000
Galane Gold Ltd.	Warrants	Bhalla, Amar	4	2020-08-19	54		0	-4,000,000
Galane Gold Ltd.	Common Shares	Brodie, Nicholas	4, 5	2020-08-13	54	0.05	5,250,000	2,535,000
Galane Gold Ltd.	Warrants	Brodie, Nicholas	4, 5	2020-08-13	54		0	-2,535,000
Galane Gold Ltd.	Common Shares	Hatton-Jones, Wayne	5	2020-08-13	54	0.05	4,695,030	1,053,000
Galane Gold Ltd.	Warrants	Hatton-Jones, Wayne	5	2017-11-20	55		0	-273,378
Galane Gold Ltd.	Warrants	Hatton-Jones, Wayne	5	2020-08-13	54		0	-1,053,000
Galane Gold Ltd.	Common Shares	Vandervegt, Gavin John	5	2020-08-13	54	0.05	1,950,000	975,000
Galane Gold Ltd.	Warrants	Vandervegt, Gavin John	5	2020-08-13	54		0	-975,000
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-07	10	1.1		456,600
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-27	10	0.975		1,519,860
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-27	10	0.95		2,800,000
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-31	10	1.02		2,724,308
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-07	10	1.1	456,600	456,600
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-27	10	0.975	1,976,460	1,519,860
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-27	10	0.95	4,776,460	2,800,000
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2018-12-31	10	1.02	7,500,768	2,724,308
Galaxy Digital Holdings Ltd.	Common Shares	Novogratz, Michael Edward	4, 7, 5	2020-08-17	47	3.76	5,522,945	-5,000,000
Galaxy Digital Holdings Ltd.	Common Shares	Tavoso, Richard	7	2020-08-17	10	2.9003	1,081,382	-13,522
Galaxy Digital Holdings Ltd.	Common Shares	Tavoso, Richard	7	2020-08-17	10	2.7938	1,056,382	-25,000
Galaxy Digital Holdings Ltd.	Common Shares	Tavoso, Richard	7	2020-08-17	10	2.7721	1,041,382	-15,000
Galaxy Digital Holdings Ltd.	Common Shares	Tavoso, Richard	7	2020-08-17	10	2.8015	1,016,382	-25,000
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	BADYLAK, MACIEJ	5	2020-08-17	00			

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Galiano Gold Inc. (formerly Asanko Gold Inc.)	Options	BADYLAK, MACIEJ	5	2020-08-17	50	2.2	243,000	243,000
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Rights Restrictive Share Units	BADYLAK, MACIEJ	5	2020-08-17	00			
Galiano Gold Inc. (formerly Asanko Gold Inc.)	Rights Restrictive Share Units	BADYLAK, MACIEJ	5	2020-08-17	56		75,000	75,000
GDI Integrated Facility Services Inc.	Subordinate Voting Shares	Trottier, Jocelyn	5	2020-08-17	10	37.75	30,922	-1,000
GDI Integrated Facility Services Inc.	Subordinate Voting Shares	Trottier, Jocelyn	5	2020-08-17	10	37.85	30,022	-900
GDI Integrated Facility Services Inc.	Subordinate Voting Shares	Trottier, Jocelyn	5	2020-08-17	10	37.6	30,000	-22
Gear Energy Ltd.	Options	Dozzi, Bryan	5	2020-08-17	50	0.23	932,150	63,000
Gear Energy Ltd.	Options	Dozzi, Bryan	5	2020-08-17	50	0.23	995,150	63,000
Gear Energy Ltd.	Options	Dozzi, Bryan	5	2020-08-17	50	0.23	1,058,150	63,000
Gear Energy Ltd.	Options	Wyma, Bindu	4	2020-08-17	50	0.23	234,000	25,000
Gear Energy Ltd.	Options	Wyma, Bindu	4	2020-08-17	50	0.23	259,000	25,000
Gear Energy Ltd.	Options	Wyma, Bindu	4	2020-08-17	50	0.23	284,000	25,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-08-14	10	0.24	1,699,686	2,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-08-18	10	0.23	1,704,686	5,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-08-19	10	0.22	1,708,686	4,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-08-20	10	0.24	1,712,686	4,000
GENIUS METALS INC.	Common Shares	Goulet, Guy	5	2020-08-21	10	0.225	1,716,686	4,000
GENIUS METALS INC.	Common Shares	Goulet, Pierre-Olivier	5	2020-08-20	10	0.22	39,833	30,000
Genworth MI Canada Inc.	Common Shares	Macdonell, Winsor James	5	2020-08-17	11	36.86	7,908	-8,000
Genworth MI Canada Inc.	Common Shares	Macdonell, Winsor James	5	2009-07-07	00		8,000	
Genworth MI Canada Inc.	Common Shares	Tomczyk, Fredric J	7	2020-06-03	00		7,960	
GHP Noetic Science-Psychedelic Pharma Inc.	Options	Barbeau, Paul	4	2020-07-30	00		166,666	
Gibson Energy Inc.	Options	Cleary, James Joseph	4	2020-07-01	52		28,729	4,386
Gibson Energy Inc.	Options	Estey, James	4	2020-07-01	52		33,454	4,386
Gibson Energy Inc.	Options	McRae, Marshall L.	4	2020-07-01	52		25,942	4,386
Gildan Activewear Inc.	Common Shares	Harries, Rhodri	5	2020-08-17	57	26	125,717	66,260
Gildan Activewear Inc.	Performance Share Units	Harries, Rhodri	5	2020-08-17	57	26	145,548	-33,130
Gildan Activewear Inc.	Restricted Share Units	Harries, Rhodri	5	2020-08-17	57	26	-392	-33,130
Global Hemp Group Inc.	Subscription Rights GHG.RT-C	Perrault, Paul	4	2014-12-29	00			
Global Hemp Group Inc.	Subscription Rights GHG.RT-C	Perrault, Paul	4	2020-08-13	56		47,999	47,999
Global Hemp Group Inc.	Subscription Rights GHG.RT-C	Perrault, Paul	4	2014-12-29	00			
Global Hemp Group Inc.	Subscription Rights GHG.RT-C	Perrault, Paul	4	2020-08-13	56		248,333	248,333
Global Hemp Group Inc.	Subscription Rights GHG.RT-C	Perrault, Paul	4	2020-08-18	10	0.015	23,333	-225,000
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-08-14	38	12.499	1,177,400	700
Global Innovation Dividend Fund	Trust Units	Global Innovation Dividend Fund	1	2020-08-18	38	12.615	1,177,800	400

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Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-08-14	38	13.37	629,900	2,600
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-08-17	38	13.247	632,000	2,100
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-08-18	38	13.326	633,000	1,000
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-08-19	38	13.287	634,700	1,700
Global Real Estate & E-Commerce Dividend Fund	Trust Units	Global Real Estate & E-Commerce Dividend Fund	1	2020-08-20	38	13.264	635,400	700
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-04-13	35	34.26		851
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-04-13	35	34.26	66,108	643
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-08-21	90		65,402	-706
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-08-13	35			-84
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-08-13	35			-84
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-08-13	35			-11
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-08-13	35			-11
goeasy Ltd. (formerly, easyhome Ltd.)	Common Shares	Mullins, Jason	5	2020-08-21	90		2,001	706
GOLD'N FUTURES MINERAL CORP. (formerly European Metals Corp.)	Common Shares	Rosenthal, Vicki Marianne	4, 5	2020-08-18	99		1,620,000	-357
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Thompson, Gary Robert	4	2020-07-24	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Thompson, Gary Robert	4	2020-07-24	10	0.07	383,000	383,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Thompson, Gary Robert	4	2020-08-10	22	0.125	983,000	600,000
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Thompson, Gary Robert	4	2020-07-24	00			
Gold79 Mines Ltd. (formerly Aura Resources Inc.)	Common Shares	Thompson, Gary Robert	4	2020-08-10	22	0.05	4,480,000	4,480,000
Golden Lake Exploration Inc.	Common Shares	England, Michael Bruno John Franz	4, 5	2020-08-21	99		409,500	-951,500
Golden Lake Exploration Inc.	Common Shares	England, Michael Bruno John Franz	4, 5	2020-08-18	10	0.2747	1,620,000	15,000
Golden Lake Exploration Inc.	Common Shares	England, Michael Bruno John Franz	4, 5	2020-08-21	99		3,430,500	1,810,500
Golden Lake Exploration Inc.	Common Shares	MAH, GEORGE PETER	4	2020-03-03	00			
Golden Lake Exploration Inc.	Common Shares	MAH, GEORGE PETER	4	2020-08-17	10	0.28	14,000	14,000
Golden Star Resources Ltd.	Common Shares	BAKER, TIMOTHY CLIVE	4	2020-08-17	10	6.285	71,203	3,200
Golden Valley Mines Ltd.	Common Shares	De Vega, Quirico (Rico)	5	2020-07-31	37		13,000	-117,000
Golden Valley Mines Ltd.	Options	De Vega, Quirico (Rico)	5	2020-07-31	37		74,787	-673,088

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Golden Valley Mines Ltd.	Common Shares	Groia, Joseph	4, 7	2020-07-31	37		65,513	-589,619
Golden Valley Mines Ltd.	Common Shares	Groia, Joseph	4, 7	2020-07-31	37		2,000	-18,000
Golden Valley Mines Ltd.	Common Shares	Groia, Joseph	4, 7	2020-07-31	37		90,656	-815,913
Golden Valley Mines Ltd.	Options	Groia, Joseph	4, 7	2020-07-31	37		235,515	-2,119,641
Golden Valley Mines Ltd.	Common Shares	Lee, Jimmy S.H.	3, 4	2020-07-31	37		3,188,050	-28,692,450
Golden Valley Mines Ltd.	Options	Lee, Jimmy S.H.	3, 4	2020-07-31	37		230,846	-2,077,617
Golden Valley Mines Ltd.	Common Shares	Mullan, Glenn J	4, 7, 5	2020-07-31	37		164,546	-1,480,923
Golden Valley Mines Ltd.	Common Shares	Mullan, Glenn J	4, 7, 5	2020-07-31	37		220,826	-1,987,440
Golden Valley Mines Ltd.	Common Shares	Mullan, Glenn J	4, 7, 5	2020-07-31	37		118,834	-1,069,508
Golden Valley Mines Ltd.	Options	Mullan, Glenn J	4, 7, 5	2020-07-31	37		541,895	-4,877,062
Golden Valley Mines Ltd.	Common Shares	Pepper, Andrew Turcotte	7	2020-07-31	37		1,400	-12,600
Golden Valley Mines Ltd.	Common Shares	Pepper, Andrew Turcotte	7	2020-07-31	37		6,325	-56,925
Golden Valley Mines Ltd.	Common Shares	Rosatelli, Michael P.	5	2020-07-31	37		47,000	-423,000
Golden Valley Mines Ltd.	Options	Rosatelli, Michael P.	5	2020-07-31	37		47,000	-423,000
Golden Valley Mines Ltd.	Common Shares	Zinke, Jens	7	2020-07-31	37		90,413	-813,722
Golden Valley Mines Ltd.	Options	Zinke, Jens	7	2020-07-31	37		3,000	-27,000
GoldHaven Resources Corp. (formerly Altum Resource Corp.)	Common Shares	Burns, Patrick James	4	2020-05-25	00		2,000,000	
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2020-08-13	10	2.79	76,718	-2,500
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2020-08-14	10	2.79	74,218	-2,500
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Fray, steve	5	2020-08-17	10	2.75	71,718	-2,500
Goldmoney Inc. (formerly BitGold Inc.)	Common Shares	Premoli, Alessandro	5	2020-08-19	10	3.24	552,895	-500
GoldQuest Mining Corp.	Common Shares	Mercedes, Felix Maria	5	2020-08-13	51		875,000	50,000
GoldQuest Mining Corp.	Options	Mercedes, Felix Maria	5	2020-08-13	51	0.13	602,500	-50,000
Goliath Resources Limited	Options	Rosmus, Roger	4, 5	2020-08-12	50	0.26	1,145,001	595,000
Goodfood Market Corp. (formerly Mira VII Acquisition Corp.)	Options	Cuggy, Neil	3, 4, 6, 5	2020-08-18	59	2	596,154	-44,681
Goodfood Market Corp. (formerly Mira VII Acquisition Corp.)	Options	Cuggy, Neil	3, 4, 6, 5	2020-08-18	59	1.56	534,710	-61,444
Goodfood Market Corp. (formerly Mira VII Acquisition Corp.)	Options	Cuggy, Neil	3, 4, 6, 5	2020-08-18	59	2.55	340,835	-193,875
Goodfood Market Corp. (formerly Mira VII Acquisition Corp.)	Options	Ferrari, Jonathan	3, 4, 6, 5	2020-08-18	59	2	596,154	-44,681
Goodfood Market Corp. (formerly Mira VII Acquisition Corp.)	Options	Ferrari, Jonathan	3, 4, 6, 5	2020-08-18	59	1.56	534,710	-61,444
Goodfood Market Corp. (formerly Mira VII Acquisition Corp.)	Options	Ferrari, Jonathan	3, 4, 6, 5	2020-08-18	59	2.55	340,835	-193,875

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GR SILVER MINING LTD. (formerly: Goldplay Exploration Ltd.)	Common Shares	Bailey, Blaine	5	2020-08-18	16	0.475	905,949	13,027
GR SILVER MINING LTD. (formerly: Goldplay Exploration Ltd.)	Common Shares	woolfe, trevor ian	5	2020-08-17	46	0.475	647,943	31,579
Gran Colombia Gold Corp.	Common Shares	2176423 Ontario Ltd.	3	2020-08-18	10	6.5063	100,000	-4,335,999
Gran Colombia Gold Corp.	Common Shares	Sprott, Eric S.	3	2020-08-18	10	6.5063	100,000	-4,335,999
Gran Tierra Energy Inc.	Common Shares	Berthelet, Remi Anthony	5	2020-08-18	30	0.31	18,665	3,270
Gran Tierra Energy Inc.	Common Shares	Ellson, Ryan Paul	5	2020-08-18	30	0.31	62,620	6,948
Gran Tierra Energy Inc.	Common Shares	Evans, Jim Randall	5	2020-08-18	30	0.31	20,870	3,066
Gran Tierra Energy Inc.	Common Shares	Guidry, Gary Stephen	4, 5	2020-08-18	30	0.31	103,209	9,809
Gran Tierra Energy Inc.	Common Shares	Trimble, Rodger Derrick	5	2020-08-18	30	0.31	44,203	4,904
Grand Peak Capital Corp.	Common Shares	Janda, Lucky Lakhwinder	3	2020-08-20	10		14,948,940	14,000
Granite REIT Inc.	Deferred Share Units	Aghar, Peter	4	2020-08-14	35	76.8	8,442	27
Granite REIT Inc.	Deferred Share Units	Daal, Remco	4	2020-08-14	35	76.8	7,609	24
Granite REIT Inc.	Performance Share Units	Gorrie, Kevan Stuart	4, 5	2020-08-14	35	76.8	26,388	83
Granite REIT Inc.	Restricted Share Units	Gorrie, Kevan Stuart	4, 5	2020-08-14	35	76.8	45,278	142
Granite REIT Inc.	Deferred Share Units	Grodner, Fern Phyllis	4	2020-08-14	35	76.8	1,480	5
Granite REIT Inc.	Performance Share Units	KUMER, LORNE	5	2020-08-14	35	76.8		14
Granite REIT Inc.	Performance Share Units	KUMER, LORNE	5	2020-08-14	35	76.8	6,812	21
Granite REIT Inc.	Restricted Share Units	KUMER, LORNE	5	2020-08-14	35	76.8		31
Granite REIT Inc.	Restricted Share Units	KUMER, LORNE	5	2020-08-14	35	76.8	10,413	33
Granite REIT Inc.	Deferred Share Units	Marshall, Kelly John	4	2020-08-14	35	76.8	10,757	34
Granite REIT Inc.	Deferred Share Units	Mawani, Al	4	2020-08-14	35	76.8	9,372	29
Granite REIT Inc.	Deferred Share Units	Miller, Gerald	4	2020-08-14	35	76.8	11,899	37
Granite REIT Inc.	Performance Share Units	Neto, Teresa	5	2020-08-14	35	76.8	4,517	14
Granite REIT Inc.	Restricted Share Units	Neto, Teresa	5	2020-08-14	35	76.8	9,770	31
Granite REIT Inc.	Deferred Share Units	Warren, Edna Jennifer	4	2020-08-14	35	76.8	4,816	15
Great Bear Resources Ltd.	Common Shares	Scott, Robert James	5	2020-08-21	54	1.75	426,223	17,241
Great Bear Resources Ltd.	Warrants	Scott, Robert James	5	2020-08-21	54	1.75	0	-17,241
Great Panther Mining Limited	Common Shares	Cornejo Rojas, Fernando Alonso	5	2020-08-18	51	0.97	60,750	45,667
Great Panther Mining Limited	Common Shares	Cornejo Rojas, Fernando Alonso	5	2020-08-18	10	1.38	15,083	-45,667
Great Panther Mining Limited	Options	Cornejo Rojas, Fernando Alonso	5	2020-08-18	51	0.97	407,333	-45,667
Great Panther Mining Limited	Common Shares	Garnett, Robert Watt	4	2020-08-19	51	0.71	70,000	30,000
Great Panther Mining Limited	Common Shares	Garnett, Robert Watt	4	2020-08-19	10	1.33	40,000	-30,000
Great Panther Mining Limited	Common Shares	Garnett, Robert Watt	4	2020-08-19	10	0.99	0	-40,000
Great Panther Mining Limited	Common Shares	Garnett, Robert Watt	4	2020-08-19	10	1.01	50,000	-20,000

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Great Panther Mining Limited	Options	Garnett, Robert Watt	4	2020-08-19	51	0.71	92,000	-30,000
Great Panther Mining Limited	Restricted Share Units	WIENS, DAVID	5	2020-08-17	10	1.32	133,600	-7,500
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-08-20	51	0.71	425,011	82,000
Great Panther Mining Limited	Common Shares	Zadra, Jim	5	2020-08-20	10	1.37	343,011	-82,000
Great Panther Mining Limited	Options	Zadra, Jim	5	2020-08-20	51		1,783,000	-82,000
Green Thumb Industries Inc. (formerly Bayswater Uranium Corporation)	Subordinate Voting Shares	Berger, Wendy Alison	4	2020-08-17	36		0	-196,756
Green Thumb Industries Inc. (formerly Bayswater Uranium Corporation)	Subordinate Voting Shares	Berger, Wendy Alison	4	2020-08-17	36		1,065,053	82,706
Group Eleven Resources Corp.	Common Shares	Klassen, Kenneth George	4	2020-08-12	00			
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-08-14	10	0.1		20,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-08-14	10	0.1		20,000
Grown Rogue International Inc.	Common Shares	Strickler, J. Obie	3, 4, 5	2020-08-14	10	0.1	29,170,266	20,000
Happy Creek Minerals Ltd.	Common Shares	Segsworth, Walter Thomas	4	2020-08-14	10	0.11	720,867	50,000
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Adams, Eula Lee	4	2019-11-26	00			
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Adams, Eula Lee	4	2020-08-03	56		92,442	92,442
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Atkison, Michael Scott	4	2020-03-11	00			
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Atkison, Michael Scott	4	2020-08-03	56		59,011	59,011
Harvest Health & Recreation Inc.	Options Subordinate	Barnard, Mark Neal	4	2018-11-14	00			
Harvest Health & Recreation Inc.	Options Subordinate	Barnard, Mark Neal	4	2018-11-14	50		150,000	150,000
Harvest Health & Recreation Inc.	Options Subordinate	Barnard, Mark Neal	4	2019-03-13	50		300,000	150,000
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Barnard, Mark Neal	4	2018-11-14	00			
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Barnard, Mark Neal	4	2020-08-03	56		129,925	129,925
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Dutra, Ana Claudia Amaral Ferreira	4	2019-11-26	00			
Harvest Health & Recreation Inc.	Rights Restricted Share Units	Dutra, Ana Claudia Amaral Ferreira	4	2020-08-03	56		30,899	30,899
Harvest Health & Recreation Inc.	Options Subordinate	Sailor, Elroy	4	2018-11-14	00			
Harvest Health & Recreation Inc.	Options Subordinate	Sailor, Elroy	4	2018-11-14	50		150,000	150,000
Harvest Health & Recreation Inc.	Options Subordinate	Sailor, Elroy	4	2019-03-13	50		300,000	150,000
Harvest Health & Recreation Inc.	Options Subordinate	Sailor, Elroy	4	2020-01-09	50		1,050,000	750,000
Harvest Health & Recreation Inc.	Options Subordinate	Stanton, Nicole	5	2019-06-24	00			
Harvest Health & Recreation Inc.	Options Subordinate	Stanton, Nicole	5	2020-07-14	50		140,000	140,000
Heatherdale Resources Ltd.	Common Shares	Stewart, Ronald W.	4	2020-08-13	00			
Heatherdale Resources Ltd.	Options	Stewart, Ronald W.	4	2020-08-13	00			

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Heatherdale Resources Ltd.	Warrants	Stewart, Ronald W.	4	2020-08-13	00			
Heatherdale Resources Ltd.	Common Shares	Van Den Akker, Jessica	4	2020-07-16	99		1,523,473	304,695
Heatherdale Resources Ltd.	Common Shares	Van Den Akker, Jessica	4	2020-08-12	00		1,218,778	
Helix BioPharma Corp.	Options	Fafara, Ireneusz Jan	4	2020-08-11	50		1,000,000	800,000
Helix BioPharma Corp.	Options	Gabor, Artur Benedykt	4	2020-08-11	50		1,000,000	800,000
Helix BioPharma Corp.	Options	Majewski, Slawomir	4	2020-08-11	50		1,150,000	550,000
Heroux-Devtek Inc.	UnitOs d'actions diffOrOes/Deferred Share Units	Bourque, Nathalie	4	2020-08-17	56	11.11		3,601
Heroux-Devtek Inc.	UnitOs d'actions diffOrOes/Deferred Share Units	Bourque, Nathalie	4	2020-08-17	56	11.11	18,152	3,601
Heroux-Devtek Inc.	UnitOs d'actions diffOrOes/Deferred Share Units	DorO, Paule	4	2020-08-17	56	11.11	24,313	3,601
Heroux-Devtek Inc.	UnitOs d'actions diffOrOes/Deferred Share Units	Morin, Louis	4	2020-08-17	56	11.11	24,313	3,601
Heroux-Devtek Inc.	UnitOs d'actions diffOrOes/Deferred Share Units	Morris, James John	4	2020-08-17	56	11.11	49,112	8,380
Heroux-Devtek Inc.	UnitOs d'actions diffOrOes/Deferred Share Units	Robbins, Brian Andrew	4	2020-08-17	56	11.11	62,813	9,045
Heroux-Devtek Inc.	UnitOs d'actions diffOrOes/Deferred Share Units	Wyse, Beverly	4	2020-08-17	56	11.11	10,461	5,986
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-07-13	10	0.275	5,132,129	4,500
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-07-21	10	0.275	5,137,629	5,500
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-07-29	10	0.28	5,167,629	30,000
HIRE Technologies Inc.	Common Shares	GIC Merchant Bank Corporation	3	2020-08-14	10	0.31	5,259,129	91,500
Home Capital Group Inc.	Common Shares	Pelletier, James	5	2020-08-17	57	23.68	1,032	679
Home Capital Group Inc.	Common Shares	Pelletier, James	5	2020-08-17	10	23.68	650	-382
Home Capital Group Inc.	Rights Restricted Share Units	Pelletier, James	5	2020-08-17	57	23.68	4,857	-679
Home Capital Group Inc.	Rights Restricted Share Units	Stilo, Anthony	5	2020-08-17	56		5,745	1,327
Horizon North Logistics Inc.	Common Shares	Johnston, David Lloyd	4	2020-08-13	10	4.66	28,350	300
Horizon North Logistics Inc.	Common Shares	Johnston, David Lloyd	4	2020-08-13	10	4.64	44,350	16,000
Horizon North Logistics Inc.	Common Shares	Johnston, David Lloyd	4	2020-08-13	10	4.6	45,350	1,000
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-13	10	4.02	9,813,790	48,200
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-14	10	3.98	9,855,790	42,000
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-13	10	4.02	14,132,721	111,200
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-14	10	3.98	14,229,621	96,900
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-13	10	4.02	17,514,437	107,800

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Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-14	10	3.98	17,608,337	93,900
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-13	10	4.02	1,667,000	11,100
Hudbay Minerals Inc. (formerly HudBay Minerals Inc.)	Common Shares	GMT Capital Corp	3	2020-08-14	10	3.98	1,676,700	9,700
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2019-12-31	30	22.799		1,289
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2019-12-31	30	23.593	3,825	959
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2019-12-31	30	22.124		84
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2019-12-31	30	23.915	3,871	46
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	59	27.69		-2,211
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	30	27		441
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	30	27		400
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	30	27	2,212	810
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	59	27.69		-2,211
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	59	27.69	0	-2,212
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	30	27		41
Hydro One Limited	Common Shares	Millitz-Lee, Saylor	5	2020-08-12	30	27		41
IGM Financial Inc.	Common Shares	Carney, Jeffrey	4, 5	2020-08-17	30	33.26	13,073	300
IGM Financial Inc.	Common Shares	Carney, Jeffrey	4, 5	2020-08-17	30	33.25	13,222	149
IGM Financial Inc.	Common Shares	Carney, Jeffrey	4, 5	2020-08-17	30	33.23	13,223	1
iLOOKABOUT Corp.	Options	Yeoman, Gary	3, 4, 5	2020-02-22	52		1,000,000	-2,233,000
IMAX Corporation	Common Shares	IMAX Corporation	1	2020-08-13	30		20,903	-410
IMAX Corporation	Common Shares	IMAX Corporation	1	2020-08-18	30		18,001	-2,902
IMAX Corporation	Rights Performance Share Units	Tu, Denny	5	2020-08-15	56		5,216	1,005
IMAX Corporation	Rights Restricted Share Unit	Tu, Denny	5	2020-08-15	56		25,287	3,016
Inca One Gold Corp.	Common Shares	Morger, Adrian	4	2020-06-15	51	0.5	160,000	100,000
Inca One Gold Corp.	Common Shares	Morger, Adrian	4	2020-08-13	51	0.19	398,500	80,000
Inca One Gold Corp.	Options	Morger, Adrian	4	2020-01-10	37	0.5	900,000	-900,000
Inca One Gold Corp.	Options	Morger, Adrian	4	2020-01-10	37	0.19	180,000	-720,000
Inca One Gold Corp.	Options	Morger, Adrian	4	2020-06-15	51	0.5	80,000	-100,000
Inca One Gold Corp.	Options	Morger, Adrian	4	2020-08-13	51	0.19	0	-80,000
Inca One Gold Corp.	Warrants	Morger, Adrian	4	2020-07-16	11	0.17	18,461	-462,963
Indiva Limited	Common Shares	Marotta, Carmine Edward	4, 5	2020-08-10	16	0.25	1,508,944	8,944
Indiva Limited	Common Shares	Marotta, John A.	4	2020-08-10	16	0.25	355,778	35,778
Indiva Limited	Common Shares	Marotta, John A.	4	2020-08-10	16	0.3	6,200,000	364,000
Indiva Limited	Warrants	Marotta, John A.	4	2020-08-10	16		1,656,000	364,000
Indiva Limited	Common Shares	Welsh, Jennifer Ann	5	2020-08-10	16	0.25	18,756	2,089
Infowave Software, Inc.	Common Shares	Visca, Salvatore	5	1999-11-26	00			
Infowave Software, Inc.	Common Shares	Visca, Salvatore	5	2002-02-13	00			
Infowave Software, Inc.	Options	Visca, Salvatore	5	1999-11-26	00		271,000	
Infowave Software, Inc.	Options	Visca, Salvatore	5	2002-02-13	00			
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-08-17	38	7.9923	51,400	2,600
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-08-19	38	8.0346	67,200	15,800
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-08-20	38	8.0996	72,300	5,100
Inovalis Real Estate Investment Trust	Units	Inovalis Real Estate Investment Trust	1	2020-08-21	38	8.0717	80,475	8,175

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Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	De Jong, Stephen Edward	4, 5	2020-08-12	10	4.93	986,981	1,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	De Jong, Stephen Edward	4, 5	2020-08-12	10	4.92	987,981	1,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	Salamis, George	4, 5	2020-08-14	10	5.03	1,286,787	3,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	Salamis, George	4, 5	2020-08-19	10	4.79	1,287,787	1,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	Salamis, George	4, 5	2020-08-19	10	4.8	1,288,787	1,000
Integra Resources Corp. (formerly, Mag Copper Limited)	Common Shares	St-Germain, Andree	5	2020-08-19	10	4.8	323,211	1,040
Intellabridge Technology Corporation	Common Shares	Eagleton, John	3, 4, 5	2020-08-14	10	0.016	9,132,181	10,000
Intellabridge Technology Corporation	Common Shares	Eagleton, John	3, 4, 5	2020-08-21	10	0.02	9,142,181	10,000
Intermap Technologies Corporation	Common Shares Class A	Blott, Patrick	5	2020-08-17	11	0.56	6,186,844	22,330
Irving Resources Inc.	Common Shares	Buchanan, Douglas B.	4	2020-08-18	52	1	394,999	100,000
Irving Resources Inc.	Options	Buchanan, Douglas B.	4	2020-08-18	51	1	150,000	-100,000
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	51	1	3,440,079	250,000
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.84	3,438,879	-1,200
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.83	3,438,179	-700
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.82	3,435,379	-2,800
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.81	3,434,679	-700
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.79	3,432,179	-2,500
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.78	3,430,679	-1,500
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.76	3,403,179	-27,500
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-17	10	3.75	3,315,079	-88,100
Irving Resources Inc.	Common Shares	Levinson, Akiko	4	2020-08-18	54	1.75	3,335,079	20,000
Irving Resources Inc.	Options	Levinson, Akiko	4	2020-08-17	51	1	500,000	-250,000
Irving Resources Inc.	Warrants	Levinson, Akiko	4	2020-08-18	54	1.75	0	-20,000
Irving Resources Inc.	Common Shares	Sharp, Lisa	5	2020-08-17	51	1	198,000	50,000
Irving Resources Inc.	Common Shares	Sharp, Lisa	5	2020-08-17	10	3.8	168,000	-30,000
Irving Resources Inc.	Options	Sharp, Lisa	5	2020-08-17	51	1	200,000	-50,000
Ivanhoe Mines Ltd.	Common Shares Class A	Bianchini, Egizio	4, 5	2020-08-19	51	3.05	1,670,691	1,421,453
Ivanhoe Mines Ltd.	Common Shares Class A	Bianchini, Egizio	4, 5	2020-08-19	51	3.9465	1,846,352	175,661
Ivanhoe Mines Ltd.	Options	Bianchini, Egizio	4, 5	2020-08-19	51		758,565	-3,500,000
Ivanhoe Mines Ltd.	Options	Bianchini, Egizio	4, 5	2020-08-19	51		0	-758,565
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ahmed, Hashim	5	2020-08-19	56		1,057,302	100,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	de Freitas, Marina Fagundes	5	2020-07-01	00			
Jaguar Mining Inc.	Deferred Share Units (DSUs)	de Freitas, Marina Fagundes	5	2020-08-19	56		7,500	7,500
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Ellis, John Jackson	4	2020-08-19	56		802,472	100,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Guenther, Benjamin Wayne	4, 5	2020-08-19	56		1,464,000	100,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	HILL, JONATHAN VICTOR	5	2020-08-19	56		233,000	25,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Kennedy, William Jeffrey	4	2019-09-06	00			
Jaguar Mining Inc.	Deferred Share Units (DSUs)	Kennedy, William Jeffrey	4	2020-08-20	50		100,000	100,000

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Jaguar Mining Inc.	Deferred Share Units (DSUs)	Miraglia, Luis Ricardo	4	2020-08-19	56		1,020,372	100,000
Jaguar Mining Inc.	Deferred Share Units (DSUs)	WENG, THOMAS SUN	4	2020-08-19	56		832,145	100,000
Jamieson Wellness Inc.	Common Shares	Snowden, Christopher	5	2020-08-20	51	13.9	293,323	83,323
Jamieson Wellness Inc.	Common Shares	Snowden, Christopher	5	2020-08-20	51	13.9	341,498	48,175
Jamieson Wellness Inc.	Options	Snowden, Christopher	5	2020-08-20	51	13.9	207,628	-83,323
Jamieson Wellness Inc.	Options	Snowden, Christopher	5	2020-08-20	51	13.9	159,453	-48,175
Josemaria Resources Inc.	Common Shares	Lorito Holdings S.a.r.l.	3	2020-08-18	16	0.67	28,346,247	2,194,030
Josemaria Resources Inc.	Common Shares	Zebra Holdings and Investments S.a.r.l.	3	2020-08-18	16	0.67	86,079,003	19,746,269
K2 Gold Corporation	Common Shares	Scott, Robert James	5	2020-08-19	54	0.4	76,500	25,000
K2 Gold Corporation	Warrants	Scott, Robert James	5	2020-08-19	54	0.4	0	-25,000
K2 Gold Corporation	Common Shares	Swatton, Stephen P.	4, 5	2016-06-28	00		50,000	
Karora Resources Inc.	Rights Performance Share Units	Dahl, Barry	5	2020-03-02	00			
Karora Resources Inc.	Rights Performance Share Units	Dahl, Barry	5	2020-08-12	56		75,121	75,121
Karora Resources Inc.	Rights Restricted Share Units	Dahl, Barry	5	2020-08-12	56		1,236,822	75,122
Karora Resources Inc.	Common Shares	Goudie, Peter James	4	2020-08-12	57		1,388,299	16,874
Karora Resources Inc.	Rights Deferred Share Units	Goudie, Peter James	4	2020-08-12	56		112,956	43,956
Karora Resources Inc.	Rights Restricted Share Units	Goudie, Peter James	4	2020-08-12	57		861,434	-16,874
Karora Resources Inc.	Rights Restricted Share Units	Goudie, Peter James	4	2020-08-12	56		870,754	9,320
Karora Resources Inc.	Common Shares	Hand, Scott McKee	4, 5	2020-08-12	57		3,938,262	22,715
Karora Resources Inc.	Rights Deferred Share Units	Hand, Scott McKee	4, 5	2020-08-12	56		578,486	57,143
Karora Resources Inc.	Rights Restricted Share Units	Hand, Scott McKee	4, 5	2020-08-12	57		1,679,428	-22,715
Karora Resources Inc.	Rights Restricted Share Units	Hand, Scott McKee	4, 5	2020-08-12	59		1,669,693	-9,735
Karora Resources Inc.	Rights Restricted Share Units	Hand, Scott McKee	4, 5	2020-08-12	56		1,684,910	15,217
Karora Resources Inc.	Rights Performance Share Units	Huet, Paul Andr�	4	2018-11-19	00			
Karora Resources Inc.	Rights Performance Share Units	Huet, Paul Andr�	4	2020-08-12	56		231,992	231,992
Karora Resources Inc.	Rights Restricted Share Units	Huet, Paul Andr�	4	2020-08-12	56		3,053,694	231,993
Karora Resources Inc.	Rights Deferred Share Units	Kei, Wendy Wai Ting	4	2018-06-28	00			
Karora Resources Inc.	Rights Deferred Share Units	Kei, Wendy Wai Ting	4	2020-08-12	56		43,956	43,956
Karora Resources Inc.	Rights Restricted Share Units	Kei, Wendy Wai Ting	4	2020-08-12	56		340,711	2,475
Karora Resources Inc.	Rights Restricted Share Units	Morley-Jepson, Warwick	4	2020-08-12	56		394,273	9,320
Karora Resources Inc.	Rights Restricted Share Units	Morley-Jepson, Warwick	4	2020-08-12	56		438,229	43,956
Karora Resources Inc.	Rights Performance Share Units	Sloan, Graeme John	7	2019-10-28	00			
Karora Resources Inc.	Rights Performance Share Units	Sloan, Graeme John	7	2020-08-12	56		94,905	94,905
Karora Resources Inc.	Rights Restricted Share Units	Sloan, Graeme John	7	2020-08-12	56		966,163	94,906
Karora Resources Inc.	Rights Performance Share Units	Turner, Oliver	5	2020-04-01	00			

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Karora Resources Inc.	Rights Performance Share Units	Turner, Oliver	5	2020-08-12	56		55,857	55,857
Karora Resources Inc.	Rights Restricted Share Units	Turner, Oliver	5	2020-04-01	00			
Karora Resources Inc.	Rights Restricted Share Units	Turner, Oliver	5	2020-08-12	56		55,857	55,857
Karora Resources Inc.	Rights Restricted Share Units	Williams, Chad	4	2020-08-12	56		243,956	43,956
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2015-01-08	00			
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-03-16	10	0.105	2,500	2,500
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-03-16	10	0.11	4,250	1,750
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-03-16	10	0.13	50,000	45,750
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-03-19	10	0.06	51,000	1,000
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-03-19	10	0.085	56,500	5,500
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-03-19	10	0.09	75,000	18,500
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-08-13	10	0.12	83,750	8,750
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-08-13	10	0.125	95,750	12,000
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-08-13	10	0.13	110,000	14,250
KDA GROUP INC.	Common Shares	BØgin, Isabelle	3, 4, 5	2020-08-13	10	0.145	125,000	15,000
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-16	10	0.105		5,000
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-16	10	0.11		3,500
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-16	10	0.13		91,500
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-19	10	0.06		2,000
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-19	10	0.085		11,000
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-19	10	0.09		37,000
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2015-01-08	00			
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-16	10	0.105	2,500	2,500
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-16	10	0.11	4,250	1,750
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-16	10	0.13	50,000	45,750
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-19	10	0.06	51,000	1,000
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-19	10	0.085	56,500	5,500
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-03-19	10	0.09	75,000	18,500
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-08-13	10	0.12	83,750	8,750
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-08-13	10	0.125	95,750	12,000
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-08-13	10	0.13	110,000	14,250
KDA GROUP INC.	Common Shares	Lemieux, Marc	3, 4, 5	2020-08-13	10	0.145	125,000	15,000
Kelso Technologies Inc.	Options	Andrukaitis, Anthony	4, 5	2020-08-18	50	0.75	500,000	100,000
Kelso Technologies Inc.	Options	Bond, James Richard	4, 5	2020-08-18	50	0.75	500,000	100,000
Kelso Technologies Inc.	Options	Busch, Frank	4	2020-08-18	50	0.75	250,000	50,000
Kelso Technologies Inc.	Options	Cass, Edward Paul	4	2020-08-18	50	0.75	400,000	50,000
Kelso Technologies Inc.	Options	Crews, Jesse Van	4	2020-08-18	50	0.75	350,000	50,000
Kelso Technologies Inc.	Options	Hughes, Peter Robert	4	2020-08-18	50	0.75	250,000	50,000
Kelso Technologies Inc.	Options	Lee, Richard Manning	5	2020-08-19	50	0.75	600,000	100,000
Kelso Technologies Inc.	Options	Love, Kathy	5	2019-11-14	52		250,000	-100,000
Kelso Technologies Inc.	Options	Love, Kathy	5	2020-08-18	50	0.75	275,000	25,000
Kelso Technologies Inc.	Options	Roach, Laura	4	2020-08-18	50	0.75	400,000	50,000
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-08-14	51	68.34	27,500	27,500
Kinaxis Inc.	Common Shares	McDonald, Andrew John	5	2020-08-14	10	193.9	0	-27,500
Kinaxis Inc.	Options	McDonald, Andrew John	5	2020-08-14	51	68.34	119,249	-27,500

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Kirkland Lake Gold Ltd.	Rights Performance Share Units	Rooney, Gregory Joseph	5	2020-07-13	00			
Kirkland Lake Gold Ltd.	Rights Performance Share Units	Rooney, Gregory Joseph	5	2020-08-17	56		1,862	1,862
Kirkland Lake Gold Ltd.	Rights Restricted Share Units	Rooney, Gregory Joseph	5	2020-07-13	00			
Kirkland Lake Gold Ltd.	Rights Restricted Share Units	Rooney, Gregory Joseph	5	2020-08-17	56		1,862	1,862
Kirkland Lake Gold Ltd.	Rights Performance Share Units	Verli, Merushe	5	2020-08-20	46		12,745	2,853
Kirkland Lake Gold Ltd.	Rights Performance Share Units	Verli, Merushe	5	2020-08-20	46		15,598	2,853
KP Tissue Inc.	Deferred Share Units (DSU)	Hardy, James Richmond	4	2020-08-20	56	11.85	5,443	342
KP Tissue Inc.	Deferred Share Units (DSU)	Korenberg, Michael	4	2020-08-20	59		0	-2,332
KP Tissue Inc.	Deferred Share Units (DSU)	Letellier, Michel	4	2020-08-20	56	11.85	12,793	1,054
KP Tissue Inc.	Deferred Share Units (DSU)	Wendling, Louise Michele	4	2020-08-20	56	11.85	12,179	1,054
KWG Resources Inc.	Subordinate Voting Shares	Hodgman, Bruce Ronald	5	2020-08-17	10	0.005	190,662	-100,000
Leocor Gold Inc.	Common Shares	Moshevich, Etienne	3	2020-07-17	11	0.06	487,000	-1,000,000
Leocor Gold Inc.	Common Shares	Moshevich, Etienne	3	2020-07-17	11	0.06	0	-487,000
Leon's Furniture Limited	Common Shares	Pyshniak, Orest	5	2020-08-14	10	15.65	0	-3,238
LeoNovus Inc.	Common Shares	Gaffney, Michael John	4	2020-08-19	11		5,526,000	1,000,000
Liberty Gold Corp. (formerly Pilot Gold Inc.)	Options	Everett, Calvin Clovis	5	2020-08-14	56	2.09	3,853,653	35,885
Lightspeed POS Inc.	Options	Lamothe, Marie Josee	4	2020-08-18	50	39.55	19,614	4,040
Lightspeed POS Inc.	Options	McFeeters, Paul Joseph	4	2020-08-18	50	39.55	19,614	4,040
Lightspeed POS Inc.	Options	Saintil, Merline	4	2020-08-17	00			
Lightspeed POS Inc.	Options	Saintil, Merline	4	2020-08-18	50	39.55	4,040	4,040
Lightspeed POS Inc.	Rights Restricted stock units	Saintil, Merline	4	2020-08-17	00			
Lightspeed POS Inc.	Subordinate Voting Shares	Saintil, Merline	4	2020-08-17	00			
Lightspeed POS Inc.	Options	Williams, Robert Vaughan	4	2020-08-18	50	39.55	19,614	4,040
Linamar Corporation	Common Shares	FORWELL, LISA ELLEN	4	2020-05-27	00			
Linamar Corporation	Common Shares	FORWELL, LISA ELLEN	4	2020-08-17	10	42.566	500	500
Linamar Corporation	Common Shares	HASENFRATZ, FRANK	3, 4, 6, 5	2020-08-19	90		96,803	-196,750
Linamar Corporation	Common Shares	HASENFRATZ, FRANK	3, 4, 6, 5	2020-08-19	90		446,750	196,750
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	2020-08-14	10	7.556		28,860
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	2020-08-14	10	7.556		28,860
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	2020-08-14	10	7.556	395,535	28,860
LIONS GATE ENTERTAINMENT CORP.	Non-Voting Shares Class B	Crawford, Gordon	4	2020-08-17	10	7.573	423,935	28,400
Lithium Americas Corp.	Rights Deferred Share Units	Fischer, Michael William	4, 6	2020-05-07	00			
Lithium Americas Corp.	Rights Deferred Share Units	Fischer, Michael William	4, 6	2020-08-13	56		2,317	2,317

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2017-08-15	00			
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-08-17	51	4.9	100,000	100,000
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-08-17	57		155,000	55,000
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-08-17	57		174,133	19,133
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-08-17	57		197,395	23,262
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-08-17	57		200,000	2,605
Lithium Americas Corp.	Common Shares	Meikle, Alexander Hamilton	5	2020-08-17	10	11.095	0	-200,000
Lithium Americas Corp.	Options	Meikle, Alexander Hamilton	5	2017-08-15	00			
Lithium Americas Corp.	Options	Meikle, Alexander Hamilton	5	2017-08-15	00		580,000	
Lithium Americas Corp.	Options	Meikle, Alexander Hamilton	5	2020-08-17	51	4.9	480,000	-100,000
Lithium Americas Corp.	Rights Restricted Stock Unit	Meikle, Alexander Hamilton	5	2020-08-17	57		383,907	-55,000
Lithium Americas Corp.	Rights Restricted Stock Unit	Meikle, Alexander Hamilton	5	2020-08-17	57		364,774	-19,133
Lithium Americas Corp.	Rights Restricted Stock Unit	Meikle, Alexander Hamilton	5	2020-08-17	57		341,512	-23,262
Lithium Americas Corp.	Rights Restricted Stock Unit	Meikle, Alexander Hamilton	5	2020-08-17	57		338,907	-2,605
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-08-17	38	70.71	2,250,594	-97,453
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-08-18	38	71	2,155,223	-95,371
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-08-19	38	70.9	2,068,012	-87,211
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-08-20	38	70.75	1,980,801	-87,211
Loblaw Companies Limited	Common Shares	George Weston Limited	3	2020-08-21	38	71.1	1,894,206	-86,595
Loncor Resources Inc.	Common Shares	COWLEY, PETER	4, 5	2009-10-26	00			
Loncor Resources Inc.	Common Shares	COWLEY, PETER	4, 5	2019-10-28	00			
Loncor Resources Inc.	Options	COWLEY, PETER	4, 5	2009-10-26	00			
Loncor Resources Inc.	Options	COWLEY, PETER	4, 5	2019-10-28	00			
Lundin Gold Inc.	Common Shares	Thiele, Robert Malcolm	4	2020-08-11	00			
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	51	4.32		44,000
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	51	4.32		44,000
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.225		-1,800
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.225		-1,800
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.235		-600
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.235		-600
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.23		-3,300
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.23		-3,300
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.22		-19,200
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.22		-19,200
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.21		-3,600

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.21		-3,600
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.2		-4,400
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.2		-4,400
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.195		-4,100
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.195		-4,100
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.19		-7,000
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.19		-7,000
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	51	4.32	186,000	44,000
Lundin Mining Corporation	Common Shares	Gatley, Stephen Trelawney	5	2020-08-19	10	8.21	142,000	-44,000
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-08-19	51	4.32		-44,000
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-08-19	51	4.32		-44,000
Lundin Mining Corporation	Options	Gatley, Stephen Trelawney	5	2020-08-19	51	4.32	440,990	-44,000
Lundin Mining Corporation	Common Shares	Magie, Jinhee	5	2020-08-20	10	7.97	220,100	-12,900
Lundin Mining Corporation	Common Shares	Magie, Jinhee	5	2020-08-20	10	7.98	220,000	-100
MacDonald Mines Exploration Ltd.	Options	Adair, Stuart Adair	4	2020-08-21	50	0.13	1,250,000	400,000
Macro Enterprises Inc.	Common Shares	Albo, Wayne Paul	4	2020-08-18	51	1.63	186,000	30,000
Macro Enterprises Inc.	Options	Albo, Wayne Paul	4	2020-08-18	51	1.63	40,000	-30,000
Macro Enterprises Inc.	Common Shares	McFetridge, William James	4	2020-08-18	51	1.63	147,700	30,000
Macro Enterprises Inc.	Options	McFetridge, William James	4	2020-08-18	51	1.63	50,000	-30,000
Macro Enterprises Inc.	Common Shares	Miles, Frank Dorsey	3, 4, 5	2020-08-18	51	1.63	2,404,567	30,000
Macro Enterprises Inc.	Options	Miles, Frank Dorsey	3, 4, 5	2020-08-18	51	1.63	70,000	-30,000
Macro Enterprises Inc.	Common Shares	Nielsen, Michael	4, 5	2020-08-18	51	1.63	302,500	30,000
Macro Enterprises Inc.	Options	Nielsen, Michael	4, 5	2020-08-18	51	1.63	50,000	-30,000
Macro Enterprises Inc.	Common Shares	Redmond, Jeffrey Andrew	5	2020-08-18	51	1.63	115,000	30,000
Macro Enterprises Inc.	Options	Redmond, Jeffrey Andrew	5	2020-08-18	51	1.63	30,000	-30,000
Madison Pacific Properties Inc.	Non-Voting Shares Class C	Heung, Raymond	3	2020-08-18	10	2.85	5,936,417	-450,000
Magna Gold Corp.	Options	Bonilla, Miguel	5	2020-08-13	50		500,000	200,000
Magna Gold Corp.	Options	Bonillas Zepeda, Francisco Arturo	4, 5	2020-08-13	50		1,200,000	500,000
Magna Gold Corp.	Options	Elizalde Avalos, Raul Edmundo	5	2020-08-13	50		500,000	200,000
Magna Gold Corp.	Options	Soto Bedolla, Miguel Angel	5	2020-08-13	50		500,000	200,000
Magna Gold Corp.	Options	Sutherland, Colin	4	2020-08-13	50		450,000	150,000
Magna Gold Corp.	Options	Tsakumis, Alexander	4	2020-06-29	50	0.98	150,000	150,000
Magna Gold Corp.	Options	Tsakumis, Alexander	4	2020-08-12	50	1.53	450,000	150,000
Magna Gold Corp.	Options	Tsakumis, Alexander	4	2020-06-29	50	0.98		150,000
Mainstream Minerals Corporation	Common Shares	Generic Capital Corporation	3	2020-08-14	00		2,025,000	
Mainstream Minerals Corporation	Common Shares	Whitton, Jessica	4, 5	2020-08-14	11	0.05	400,000	400,000
Mako Mining Corp.	Common Shares	Munoz, Jesse	6	2014-07-18	00		13,860	
Mako Mining Corp.	Common Shares	Munoz, Jesse	6	2020-08-14	10	0.3496	17,860	4,000
Mako Mining Corp.	Common Shares	Munoz, Jesse	6	2020-08-17	10	0.3619	19,860	2,000

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Mako Mining Corp.	Common Shares	Munoz, Jesse	6	2020-08-17	10	0.3577	21,860	2,000
Mako Mining Corp.	Common Shares	Munoz, Jesse	6	2020-08-17	10	0.3589	22,860	1,000
Mako Mining Corp.	Common Shares	Munoz, Jesse	6	2020-08-17	10	0.3589	25,860	3,000
Mako Mining Corp.	Common Shares	Munoz, Jesse	6	2020-08-17	10	0.355	31,860	6,000
Mandalay Resources Corporation	Common Shares	AZVALOR ASSET MANAGEMENT SGIC	3	2020-08-19	10		239,428	-5,000
Manulife Financial Corporation	Common Shares	Cloherty, Eileen	7	2020-06-30	30		288	272
Manulife Financial Corporation	Common Shares	Cloherty, Eileen	7	2020-06-30	30		300	12
Manulife Financial Corporation	Common Shares	Cloherty, Eileen	7	2020-06-30	30		887	587
Manulife Financial Corporation	Common Shares	Collins, Brian	7	2020-06-30	30		1,975	1,687
Manulife Financial Corporation	Common Shares	Collins, Brian	7	2020-06-30	30		2,007	32
Manulife Financial Corporation	Common Shares	Finch, Steve	5	2020-06-30	30		7,608	1,394
Manulife Financial Corporation	Common Shares	Finch, Steve	5	2020-06-30	30		7,625	17
Manulife Financial Corporation	Common Shares	Finch, Steve	5	2020-08-17	51	18.91	35,374	27,749
Manulife Financial Corporation	Common Shares	Finch, Steve	5	2020-08-17	10	19.95	7,625	-27,749
Manulife Financial Corporation	Options	Finch, Steve	5	2020-08-17	51	18.91	636,195	-27,749
Manulife Financial Corporation	Common Shares	Gallagher, James D.	5	2020-06-30	30		1,394	1,394
Manulife Financial Corporation	Common Shares	Gallagher, James D.	5	2020-06-30	30		1,411	17
Manulife Financial Corporation	Common Shares	Joshi, Rahul Madhav	5	2020-06-30	30		4,669	4,669
Manulife Financial Corporation	Common Shares	Joshi, Rahul Madhav	5	2020-06-30	30		4,728	59
Manulife Financial Corporation	Common Shares	Kimmet, Pamela O'Brien	5	2020-06-30	30		45,017	17
Manulife Financial Corporation	Common Shares	Kimmet, Pamela O'Brien	5	2020-06-30	30		46,411	1,394
Manulife Financial Corporation	Common Shares	Pariath, Sebastian	7	2020-08-17	10	15.003	0	-904
Manulife Financial Corporation	Common Shares	Rappold, Kenneth Joseph	7	2018-03-26	00			
Manulife Financial Corporation	Common Shares	Rappold, Kenneth Joseph	7	2020-06-30	30		17	17
Manulife Financial Corporation	Common Shares	Rappold, Kenneth Joseph	7	2020-06-30	30		1,622	1,605
Manulife Financial Corporation	Common Shares	Ross, Kenneth Michael	7	2020-06-30	30		1,908	20
Manulife Financial Corporation	Common Shares	Ross, Kenneth Michael	7	2020-06-30	30		2,426	518
Manulife Financial Corporation	Common Shares	Sheerin, Martin Ignatius	7	2020-06-30	30		4,160	1,394
Manulife Financial Corporation	Common Shares	Sheerin, Martin Ignatius	7	2020-06-30	30		4,195	35
Manulife Financial Corporation	Common Shares	Vendittelli, Simonetta	7	2020-06-30	30		1,339	1,339
Manulife Financial Corporation	Common Shares	Vendittelli, Simonetta	7	2020-06-30	30		1,355	16
Manulife Financial Corporation	Common Shares	Wadhvani, Anil	7, 5	2020-06-30	30		79	79
Manulife Financial Corporation	Common Shares	Wadhvani, Anil	7, 5	2020-06-30	30		7,193	7,114
Manulife Financial Corporation	Common Shares	Weiland, Shamus Edward	5	2020-06-30	30		1,394	1,394

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Manulife Financial Corporation	Common Shares	Weiland, Shamus Edward	5	2020-06-30	30		1,411	17
Manulife Financial Corporation	Common Shares	Yeo, Steven Hui Chin	7	2020-06-30	30		479	28
Manulife Financial Corporation	Common Shares	Yeo, Steven Hui Chin	7	2020-06-30	30		1,107	628
Manulife Financial Corporation	Common Shares	Yeo, Steven Hui Chin	7	2020-06-30	30		2,712	1,605
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-05-27	10	0.0745	2,011,000	20,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-05-27	10	0.07	2,031,000	20,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-05-29	10	0.07	2,055,000	24,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-03	10	0.07	2,065,000	10,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-04	10	0.085	2,070,000	5,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-05	10	0.08	2,075,000	5,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-11	10	0.09	2,090,000	15,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-11	10	0.095	2,105,000	15,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-16	10	0.085	2,125,000	20,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-18	10	0.09	2,143,000	18,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-23	10	0.095		162,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-23	10	0.095		162,000
Maple Leaf Green World Inc.	Common Shares	Lam, Terence Keung Cheung	4, 5	2020-06-23	10	0.095	2,153,000	10,000
Marathon Gold Corporation	Common Shares	BCI Ventures Inc	3	2020-08-19	10	2.5527	21,142,490	-57,600
Mariner Resources Corp.	Common Shares	Collins, John Michael William	3	2020-07-27	00			
Mariner Resources Corp.	Common Shares	Collins, John Michael William	3	2020-07-27	16	0.12	420,000	420,000
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-08-14	38	6.01	500	500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-08-14	38		0	-500
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-08-19	38	6.01	1,900	1,900
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-08-19	38		0	-1,900
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-08-20	38	5.9226	7,800	7,800
MBN Corporation	Common Shares Equity Shares	MBN Corporation	1	2020-08-20	38		0	-7,800
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-20	10	1.93	5,367,134	500
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-20	10	1.93	5,367,434	300
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-20	10	1.93	5,367,534	100
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-20	10	1.9251		100

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-20	10	1.9251	5,367,634	100
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-21	10	1.8526	5,369,634	2,000
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-21	10	1.8464	5,370,334	700
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Lanza, Costantino	3, 4, 5	2020-08-21	10	1.8464	5,370,634	300
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	McMeekin, Russel	3, 4, 5	2020-08-19	10	2.07	5,490,252	5,500
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Schutz, Chantal	5	2019-05-27	00			
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Schutz, Chantal	5	2020-08-19	10	2.67	650	650
mCloud Technologies Corp. (formerly Universal mCloud Corp.)	Common Shares	Schutz, Chantal	5	2020-08-19	10	2.56	1,150	500
Medcolcanna Organics Inc.	Common Shares	Herrera Assayag, Daniel	5	2020-08-14	10	0.07	740,000	20,000
Mediagrif Interactive Technologies Inc.	Common Shares	Hallak, HΘIΦne	5	2020-08-17	10	7	27,017	-46,000
Mediagrif Interactive Technologies Inc.	Common Shares	Hallak, HΘIΦne	5	2020-08-17	10	7.03	26,717	-300
Mediagrif Interactive Technologies Inc.	Common Shares	Hallak, HΘIΦne	5	2020-08-17	10	7.04	24,017	-2,700
Mediagrif Interactive Technologies Inc.	Common Shares	Hallak, HΘIΦne	5	2020-08-17	10	7.05	21,017	-3,000
Mediagrif Interactive Technologies Inc.	Common Shares	Les Services de gestion Claude Roy Inc.	3	2020-08-14	10	6.5	1,943,830	-700,000
Mediagrif Interactive Technologies Inc.	Common Shares	Roy, Claude	3	2020-08-14	10	6.5	1,943,830	-700,000
MedXtractor Corp	Common Shares	Vinck, Dwayne Albert	5	2020-08-21	10	0.12	329,500	20,000
Melcor Developments Ltd.	Common Shares	Melton, Timothy Charles	3, 4, 5	2020-08-19	10	7.4	1,888,794	20,000
Melcor Real Estate Investment Trust	Trust Units	Rayburn, Darin Anthony	5	2020-08-14	10	3.9	165,445	800
Metallic Minerals Corp.	Common Shares	Johnson, Gregory Shawn	4, 5	2020-08-13	16	0.4	6,920,000	400,000
Metallic Minerals Corp.	Warrants	Johnson, Gregory Shawn	4, 5	2020-08-13	16	0.6	325,000	200,000
Metallic Minerals Corp.	Common Shares	Milne, Alicia	5	2020-08-13	16	0.4	17,500	12,500
Metallic Minerals Corp.	Warrants	Milne, Alicia	5	2020-08-13	16		8,750	6,250
Metallic Minerals Corp.	Common Shares	Moriarty, Rebecca	5	2020-04-01	00			
Metallic Minerals Corp.	Common Shares	Moriarty, Rebecca	5	2020-08-13	11	0.4	12,500	12,500
Metallic Minerals Corp.	Warrants	Moriarty, Rebecca	5	2020-04-01	00			
Metallic Minerals Corp.	Common Shares	Petsel, Scott Alan	5	2020-08-13	16	0.4	316,600	12,500
Metallic Minerals Corp.	Warrants	Petsel, Scott Alan	5	2020-08-13	16	0.6	23,300	6,250
Methanex Corporation	Common Shares	LARRIVE, ALEJANDRO	7	2020-08-19	10	28.118	19,598	-2,000
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-08-14	10	21.51	4,457,522	-1,071

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-08-17	10	21.52	4,456,753	-769
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-08-19	10	21.4	4,453,194	-3,559
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-08-17	10	21.52	558,641	-4,190
Methanex Corporation	Common Shares	M&G Investment Management Limited	3	2020-08-19	10	21.4	537,798	-20,843
Metro inc.	Common Shares	Jonsson, Karin	5	2020-08-17	10	59.84	585	585
Metro inc.	Common Shares	Jonsson, Karin	5	2020-08-17	10	59.85	1,260	675
Metro inc.	Common Shares	Thibault, Francois	5	2020-08-17	51	21.9	55,124	27,000
Metro inc.	Common Shares	Thibault, Francois	5	2020-08-17	10	59.956	28,124	-27,000
Metro inc.	Options	Thibault, Francois	5	2020-08-17	51	21.9	124,400	-27,000
Midas Gold Corp.	Options	Allred, Keith	4	2020-01-02	51	0.65	538,000	-97,500
Midas Gold Corp.	Options	Allred, Keith	4	2020-07-27	51	1.38	568,000	30,000
Midas Gold Corp.	Options	Allred, Keith	4	2020-08-20	51	1.97	583,000	15,000
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	51	0.31	8,125	8,125
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	10	1.9252	0	-8,125
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	51	0.66	5,625	5,625
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	10	1.9252	0	-5,625
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	51	0.89	90,000	90,000
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	10	1.9252	0	-90,000
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	51	0.59	60,000	60,000
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	10	1.9252	0	-60,000
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	51	0.97	70,000	70,000
Midas Gold Corp.	Common Shares	Fend, Kyle	2	2020-08-20	10	1.9252	0	-70,000
Midas Gold Corp.	Options	Fend, Kyle	2	2020-08-20	51	0.31	-8,125	-8,125
Midas Gold Corp.	Options	Fend, Kyle	2	2020-08-20	51	0.31	-8,125	-8,125
Midas Gold Corp.	Options	Fend, Kyle	2	2020-08-20	51	0.31	475,625	-8,125
Midas Gold Corp.	Options	Fend, Kyle	2	2020-08-20	51	0.66	470,000	-5,625
Midas Gold Corp.	Options	Fend, Kyle	2	2020-08-20	51	0.89	380,000	-90,000
Midas Gold Corp.	Options	Fend, Kyle	2	2020-08-20	51	0.59	320,000	-60,000
Midas Gold Corp.	Options	Fend, Kyle	2	2020-08-20	51	0.97	250,000	-70,000
Middlefield Can-Global REIT Income Fund	Trust Units	Middlefield Can-Global REIT Income Fund	1	2020-08-20	38	9.92	5,331,741	800
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-08-14	38	9.0364	780,400	1,400
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-08-17	38	9.04	780,700	300
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-08-18	38	9.0725	781,100	400
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-08-19	38	9.065	781,500	400
Middlefield Global Real Asset Fund	Trust Units	Middlefield Global Real Asset Fund	1	2020-08-20	38	9.0625	781,900	400
Minaurum Gold Inc.	Common Shares	Maynard, Stephen	5	2020-08-17	51	0.1	1,162,333	500,000
Minaurum Gold Inc.	Common Shares	Maynard, Stephen	5	2020-08-17	10	0.63	2,000	2,000
Minaurum Gold Inc.	Common Shares	Maynard, Stephen	5	2020-08-17	10	0.63	2,000	2,000
Minaurum Gold Inc.	Common Shares	Maynard, Stephen	5	2020-08-17	10	0.63	1,160,333	-2,000
Minaurum Gold Inc.	Common Shares	Maynard, Stephen	5	2020-08-17	10	0.5801	1,072,333	-88,000
Minaurum Gold Inc.	Options	Maynard, Stephen	5	2020-08-17	51	0.1	0	-500,000
MINCO SILVER CORPORATION	Options	Trevitt, Jennifer	5	2020-07-22	51	0.57	605,000	-45,000
MINCO SILVER CORPORATION	Options	Trevitt, Jennifer	5	2020-07-22	10	0.77	560,000	-45,000
MINT Income Fund	Trust Units	MINT Income Fund	1	2020-08-17	38	5.15	71,773,951	300
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2018-07-03	00			

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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	Units	Kimberley, Allan Scott	4	2020-08-17	10	18.45	800	800
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2020-08-18	10	18.6	1,700	900
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2018-07-03	00			
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2020-08-17	10	18.45	6,300	6,300
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2018-07-03	00			
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2020-08-18	10	18.6	6,000	6,000
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2018-07-03	00			
Minto Apartment Real Estate Investment Trust	Units	Kimberley, Allan Scott	4	2020-08-18	10	18.6	4,000	4,000
Mistango River Resources Inc.	Common Shares	Benn, Keith	5	2020-07-06	00			
Mistango River Resources Inc.	Common Shares	Benn, Keith	5	2020-07-13	10	0.24	20,000	20,000
Modern Meat Inc.	Common Shares	Haddad, Tara	4	2020-08-10	11	4.5	2,022,222	22,222
Modern Meat Inc.	Warrants	Haddad, Tara	4	2019-12-12	00			
Modern Meat Inc.	Warrants	Haddad, Tara	4	2020-08-10	11	4.5	11,111	11,111
Modern Meat Inc.	Warrants	Jiwani, Nawaz	4	2020-06-26	00			
Modern Meat Inc.	Warrants	Jiwani, Nawaz	4	2020-07-23	11	0.05	50,000	50,000
Monarch Gold Corporation	Common Shares	L'Œvesque, Alain	5	2020-08-20	90		25,000	-50,000
Monarch Gold Corporation	Common Shares	L'Œvesque, Alain	5	2020-08-20	90		155,000	50,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-08-20	10	0.95	407,000	88,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-08-20	10	0.1	417,000	10,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-08-20	10	0.11	427,000	10,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-08-20	10	0.12	447,000	20,000
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-08-20	10	0.11	448,700	1,700
Montero Mining and Exploration Ltd.	Common Shares	Thomson, Andrew	4	2020-08-18	10	0.11	173,000	10,000
Morguard Corporation	Common Shares	Morguard Corporation	1	2020-08-14	38	120.5	49,200	49,200
Morguard Corporation	Common Shares	Morguard Corporation	1	2020-08-14	38		0	-49,200
Morguard Real Estate Investment Trust	Units	Morguard Corporation	3	2020-08-14	30	4.9823	11,618,411	298,570
Morneau Shepell Inc.	Rights DDSU	Bachand, Luc	4	2020-08-18	56	29.253	7,783	555
Morneau Shepell Inc.	Common Shares	Branker, Nigel Bernard	5	2020-08-17	10	29	1,587	-1,600
Morneau Shepell Inc.	Rights DDSU	Denham, Gillian H. (Jill)	5	2020-08-18	56	29.253	18,257	1,004
Morneau Shepell Inc.	Rights DDSU	Kapoor, Kishore	4	2020-08-18	56	29.253	4,331	594
Morneau Shepell Inc.	Rights DDSU	Lalonde, Ronald Anthony Marshall	4	2020-08-18	56	29.253	8,564	619
Morneau Shepell Inc.	Rights DDSU	Pennington, Kevin	4	2020-08-18	56	29.253	25,904	1,690
Morneau Shepell Inc.	Rights DDSU	Ponder, Dale Rosa Winnifred	4	2020-08-18	56	29.253	15,706	619
Morneau Shepell Inc.	Rights DDSU	Trogni, Michele Louise	4	2020-08-18	56	29.253	9,684	757
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-08-14	38	9.6256	366,300	33,300

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Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-08-17	38	9.6345	399,600	33,300
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-08-18	38	9.7142	432,900	33,300
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-08-19	38	9.8807	466,200	33,300
Mullen Group Ltd.	Common Shares	Mullen Group Ltd.	1	2020-08-20	38	9.8415	496,000	29,800
Nabis Holdings Inc. (formerly, Innovative Properties Inc.)	Common Shares	Paul, Emmanuel	4	2019-11-25	10	0.085	345,000	-20,000
Nabis Holdings Inc. (formerly, Innovative Properties Inc.)	Common Shares	Paul, Emmanuel	4	2019-11-26	10	0.08	80,000	-265,000
Nabis Holdings Inc. (formerly, Innovative Properties Inc.)	Common Shares	Paul, Emmanuel	4	2019-11-27	10	0.075	15,000	-65,000
Nabis Holdings Inc. (formerly, Innovative Properties Inc.)	Common Shares	Paul, Emmanuel	4	2019-08-16	10	0.19	145,500	63,500
Nabis Holdings Inc. (formerly, Innovative Properties Inc.)	Common Shares	Paul, Emmanuel	4	2020-05-04	10	0.025	640,500	-360,000
Nabis Holdings Inc. (formerly, Innovative Properties Inc.)	Common Shares	Paul, Emmanuel	4	2020-05-28	10	0.025	572,500	-68,000
National Bank of Canada	Common Shares	Bachand, Raymond	4	2020-08-10	35	63.94	2,399	26
National Bank of Canada	Common Shares	Bachand, Raymond	4	2020-08-19	10	66.44	2,588	189
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Bachand, Raymond	4	2020-08-01	35		10,856	120
National Bank of Canada	Common Shares	Bertrand, Maryse	4	2020-08-10	35	63.94	5,640	46
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Bertrand, Maryse	4	2020-08-01	35		21,647	241
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Bertrand, Maryse	4	2020-08-15	56		22,230	583
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Blouin, Pierre J.	4	2020-08-01	35		9,565	107
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Blouin, Pierre J.	4	2020-08-15	56		10,148	583
National Bank of Canada	Common Shares	Boivin, Pierre	4	2020-08-10	35	63.94	14,979	33
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Boivin, Pierre	4	2020-08-01	35		15,942	177
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Boivin, Pierre	4	2020-08-15	56		16,563	621
National Bank of Canada	Common Shares	Brouillette, Manon	4	2020-08-10	35	63.94	55	1
National Bank of Canada	Common Shares	Brouillette, Manon	4	2020-08-19	10	66.44	398	343
National Bank of Canada	Common Shares	Charest, Yvon	4	2020-08-10	35	63.94	55	1
National Bank of Canada	Common Shares	Charest, Yvon	4	2020-08-19	10	66.44	398	343
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Curadeau-Grou, Patricia	4	2020-08-01	35		2,350	27
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Curadeau-Grou, Patricia	4	2020-08-15	56		2,933	583
National Bank of Canada	Common Shares	Houde, Jean	4	2020-08-10	35	63.94	15,191	50

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Houde, Jean	4	2020-08-01	35		7,739	85
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Houde, Jean	4	2020-08-15	56		8,105	366
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Kinsley, Karen	4	2020-08-01	35		10,459	117
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Kinsley, Karen	4	2020-08-15	56		10,722	263
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	McKillican, Rebecca	4	2020-08-01	35			107
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	McKillican, Rebecca	4	2020-08-01	35			107
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	McKillican, Rebecca	4	2020-08-01	35		5,977	66
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	McKillican, Rebecca	4	2020-08-15	56		6,504	527
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	ParO, Robert	4	2020-08-01	35		4,755	53
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	ParO, Robert	4	2020-08-15	56		5,282	527
National Bank of Canada	Common Shares	Saputo, Lino Anthony	4	2020-08-10	35	63.94	6,122	44
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Saputo, Lino Anthony	4	2020-08-01	35		18,564	207
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Saputo, Lino Anthony	4	2020-08-15	56		19,241	677
National Bank of Canada	Common Shares	Savoie, AndrOe	4	2020-08-10	35	63.94	3,343	13
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Savoie, AndrOe	4	2020-08-01	35		12,190	136
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Savoie, AndrOe	4	2020-08-15	56		12,773	583
National Bank of Canada	Common Shares	Thabet, Pierre	4	2020-08-10	35	63.94	5,880	53
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Thabet, Pierre	4	2020-08-01	35		20,400	227
National Bank of Canada	UnitOs d'actions diffOrOes (UAD) / (DSU)	Thabet, Pierre	4	2020-08-15	56		21,077	677
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Options	Buaron, Joseph	4	2020-04-06	00			
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Options	Buaron, Joseph	4	2020-08-12	50	3.93	41,520	41,520
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Options	de Geus, Michael Adam	4	2020-04-06	00			
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioressources Inc.)	Options	de Geus, Michael Adam	4	2020-08-12	50	3.93	41,520	41,520

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Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Common Shares	Pemberton, Jane Alice	4	2020-08-12	00		4,901	
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Deferred Share Units	Pemberton, Jane Alice	4	2020-08-12	00			
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Deferred Share Units	Pemberton, Jane Alice	4	2020-08-12	56	3.93	6,361	6,361
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Options	Pemberton, Jane Alice	4	2020-08-12	00			
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Options	Pemberton, Jane Alice	4	2020-08-12	50	3.93	41,520	41,520
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Common Shares	Rochon, Francois Philippe	4	2020-08-12	00			
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Deferred Share Units	Rochon, Francois Philippe	4	2020-08-12	00			
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Deferred Share Units	Rochon, Francois Philippe	4	2020-08-12	56	3.93	6,361	6,361
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Options	Rochon, Francois Philippe	4	2020-08-12	00			
Neptune Wellness Solutions Inc. (formerly Neptune Technologies & Bioresources Inc.)	Options	Rochon, Francois Philippe	4	2020-08-12	50	3.93	41,520	41,520
Nerds On Site Inc.	Subordinate Voting Shares	Smit, Jacques Antonius	4	2020-08-17	10	0.045	700,000	100,000
Nerds On Site Inc.	Subordinate Voting Shares	Smit, Jacques Antonius	4	2020-08-17	10	0.05	750,000	50,000
Nerds On Site Inc.	Subordinate Voting Shares	Smit, Jacques Antonius	4	2020-08-18	10	0.05	900,000	150,000
Nerds On Site Inc.	Subordinate Voting Shares	Smit, Jacques Antonius	4	2020-08-19	10	0.05	950,000	50,000
Nerds On Site Inc.	Subordinate Voting Shares	Smit, Jacques Antonius	4	2020-08-20	10	0.05	1,000,000	50,000
NervGen Pharma Corp.	Common Shares	Punnett, Harold	3, 4	2020-05-22	10	1.75	2,350,000	100,000
New Age Metals Inc.	Options	Berlet, Christopher James	4	2020-07-30	50	0.1	250,000	250,000
New Age Metals Inc.	Options	Berlet, Christopher James	4	2020-08-06	00			
New Age Metals Inc.	Options	Brown, Charlotte	5	2020-07-30	50	0.1		100,000
New Age Metals Inc.	Options	Brown, Charlotte	5	2020-07-30	50	0.1	387,500	50,000
New Found Gold Corp.	Common Shares	Roberts, Craig A.	4, 5	2020-08-11	00			
New Found Gold Corp.	Common Shares	Roberts, Craig A.	4, 5	2020-08-11	00			
New Found Gold Corp.	Common Shares	Roberts, Craig A.	4, 5	2020-08-11	00		450,000	
New Found Gold Corp.	Common Shares	Roberts, Craig A.	4, 5	2020-08-11	00			
New Found Gold Corp.	Common Shares	Roberts, Craig A.	4, 5	2020-08-11	00		1,050,000	
New Tech Minerals Corp.	Common Shares	Naughty, Blair Lawrence	3	2020-08-19	10	0.095	1,594,750	-2,000,000
Newlox Gold Ventures Corp.	Common Shares	Benavides, Jeffrey	4, 5	2020-08-20	16	0.12	4,951,930	1,008,858

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Newlox Gold Ventures Corp.	Warrants	Benavides, Jeffrey	4, 5	2020-08-20	16	0.12	1,526,930	1,008,858
Newlox Gold Ventures Corp.	Common Shares	Jackson, Ryan Kiyoshi	4, 5	2014-01-10	00			
Newlox Gold Ventures Corp.	Common Shares	Jackson, Ryan Kiyoshi	4, 5	2020-08-20	16	0.12	1,911,266	1,911,266
Newlox Gold Ventures Corp.	Warrants	Jackson, Ryan Kiyoshi	4, 5	2014-01-10	00			
Newlox Gold Ventures Corp.	Warrants	Jackson, Ryan Kiyoshi	4, 5	2020-08-20	16	0.12	1,911,266	1,911,266
Nextech AR Solutions Corp.	Options	Inbar, Ori	4	2020-07-28	00			
Nextech AR Solutions Corp.	Options	Inbar, Ori	4	2020-07-28	00		100,000	
Nextech AR Solutions Corp.	Options	Inbar, Ori	4	2020-07-28	00		50,000	
Nextleaf Solutions Ltd.	Common Shares	Ackerman, Charles Joudrey	5	2020-08-19	10	0.215		24,000
Nextleaf Solutions Ltd.	Common Shares	Ackerman, Charles Joudrey	5	2020-08-19	10	0.21	1,068,900	24,000
NFI Group Inc. (formerly New Flyer Industries Inc.)	Common Shares	Gray, Adam L.	4	2020-08-12	10	15.2	4,507,746	102,000
Nighthawk Gold Corp.	Common Shares	Cudney, Robert Douglas	3	2020-08-20	11	1.7	9,535,942	563,542
Nighthawk Gold Corp.	Warrants	Cudney, Robert Douglas	3	2018-09-02	55		0	-323,129
Nighthawk Gold Corp.	Warrants	Cudney, Robert Douglas	3	2020-08-20	11		281,771	281,771
Nighthawk Gold Corp.	Common Shares	Leskovec, Michael George	5	2020-08-20	11	1.7	49,089	13,000
Nighthawk Gold Corp.	Warrants	Leskovec, Michael George	5	2020-08-20	11		6,500	6,500
North American Nickel Inc.	Common Shares	Clark, Gilbert	4	2020-08-12	16	0.07	133,605	85,174
North American Nickel Inc.	Common Shares	Clark, Gilbert	4	2020-08-13	16	0.07		85,174
North American Nickel Inc.	Warrants	Clark, Gilbert	4	2020-08-12	16		105,062	85,174
North American Nickel Inc.	Common Shares	Lightfoot, Peter	5	2020-08-13	00		216,964	
North American Nickel Inc.	Options	Lightfoot, Peter	5	2020-08-13	00			
North American Nickel Inc.	Options	Lightfoot, Peter	5	2020-08-13	00		150,000	
North American Nickel Inc.	Warrants	Lightfoot, Peter	5	2020-08-13	00		216,964	
North American Nickel Inc.	Common Shares	Riopel, Charles Louis	4	2020-08-13	11	0.07	125,843	107,143
North American Nickel Inc.	Warrants	Riopel, Charles Louis	4	2019-06-27	00		107,143	
Northern Dynasty Minerals Ltd.	Common Shares	Peters, Mark	1	2020-08-14	10		178,420	60,000
Northern Dynasty Minerals Ltd.	Common Shares	Peters, Mark	1	2020-08-14	10		118,420	-60,000
Northern Dynasty Minerals Ltd.	Options	Peters, Mark	1	2020-08-11	51	1.75	1,260,000	-60,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	9369-5864 Quebec, Inc.	3	2020-08-14	10	0.0302	26,648,790	-1,436,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	9369-5864 Quebec, Inc.	3	2020-08-17	10	0.0303	26,076,790	-572,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	9369-5864 Quebec, Inc.	3	2020-08-18	10	0.0303	25,611,790	-465,000

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Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	9369-5864 Quebec, Inc.	3	2020-08-19	10	0.03	25,311,790	-300,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Alain	6	2020-08-14	10	0.0302	26,648,790	-1,436,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Alain	6	2020-08-17	10	0.0303	26,076,790	-572,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Alain	6	2020-08-18	10	0.0303	25,611,790	-465,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Alain	6	2020-08-19	10	0.03	25,311,790	-300,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Richard	6	2020-08-14	10	0.0302	26,648,790	-1,436,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Richard	6	2020-08-17	10	0.0303	26,076,790	-572,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Richard	6	2020-08-18	10	0.0303	25,611,790	-465,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Carrier, Richard	6	2020-08-19	10	0.03	25,311,790	-300,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Kruse, Stephan	6	2020-08-14	10	0.0302	26,648,790	-1,436,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Kruse, Stephan	6	2020-08-17	10	0.0303	26,076,790	-572,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Kruse, Stephan	6	2020-08-18	10	0.0303	25,611,790	-465,000
Nuran Wireless Inc. (formerly 1014372 B.C. Ltd.)	Common Shares	Kruse, Stephan	6	2020-08-19	10	0.03	25,311,790	-300,000
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-08-18	10	0.2439	2,049,000	100,000
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-08-18	10	0.2453	2,056,500	7,500
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-08-19	10	0.2585	2,086,500	30,000
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-08-19	10	0.26	2,125,362	38,862
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-08-19	10	0.2576	2,129,362	4,000
NXT Energy Solutions Inc.	Common Shares	Tilson, John	4	2020-08-20	10	0.26	2,156,500	27,138
O3 Mining Inc.	Common Shares	Osisko Mining Inc.	3	2020-08-21	11	2.3	18,277,898	-500,000
Oakley Ventures Inc.	Common Shares	Eskandari, Saman	4	2020-08-21	11	0.1	725,000	100,000
Olympia Financial Group Inc.	Common Shares	Eprile, Brenda	7	2020-08-19	10	37	1,000	900
Olympia Financial Group Inc.	Common Shares	Wolfe, Diana M	4	2020-08-18	10	37.49	2,510	260
Opsens Inc.	Common Shares	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	3	2020-08-19	10		9,533,366	-1,175,991
Opsens Inc.	Common Shares	Fiera Capital Corporation (formerly Fiera Sceptre Inc.)	3	2020-08-19	10	0.79	9,526,366	-7,000
Orefinders Resources Inc.	Options	Ananthanarayanan (also known under name of Narayanan), Gautam	5	2020-08-14	50		600,000	150,000
Orefinders Resources Inc.	Options	Beaudry, Charles	4	2020-08-14	50	0.13	1,950,000	250,000

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Orefinders Resources Inc.	Common Shares	Benn, Keith	5	2020-07-06	00			
Orefinders Resources Inc.	Common Shares	Benn, Keith	5	2020-07-13	10	0.12	85,000	85,000
Orefinders Resources Inc.	Options	Benn, Keith	5	2020-07-06	00			
Orefinders Resources Inc.	Options	Benn, Keith	5	2020-08-14	50		300,000	300,000
Orefinders Resources Inc.	Options	Bouchard, Claude	4	2020-08-14	50	0.13	1,175,000	125,000
Orefinders Resources Inc.	Options	Stewart, Alexander	4, 5	2020-08-14	50		3,823,000	250,000
OREX MINERALS INC.	Common Shares	2176423 Ontario Ltd.	3	2020-08-19	00			
OREX MINERALS INC.	Common Shares	2176423 Ontario Ltd.	3	2020-08-19	16	0.15	36,666,666	36,666,666
OREX MINERALS INC.	Warrants	2176423 Ontario Ltd.	3	2020-08-19	00			
OREX MINERALS INC.	Warrants	2176423 Ontario Ltd.	3	2020-08-19	16	0.2	18,333,333	18,333,333
OREX MINERALS INC.	Common Shares	Sprott, Eric S.	3	2020-08-19	00			
OREX MINERALS INC.	Common Shares	Sprott, Eric S.	3	2020-08-19	16	0.15	36,666,666	36,666,666
OREX MINERALS INC.	Warrants	Sprott, Eric S.	3	2020-08-19	00			
OREX MINERALS INC.	Warrants	Sprott, Eric S.	3	2020-08-19	16	0.2	18,333,333	18,333,333
Organic Flower Investments Group Inc. (formerly Q Investments Ltd.)	Options	Martin, John Howard	4	2020-08-11	50	0.19	125,000	25,000
Organic Flower Investments Group Inc. (formerly Q Investments Ltd.)	Options	Purdy, Brendan	4	2019-03-14	00			
Organic Flower Investments Group Inc. (formerly Q Investments Ltd.)	Options	Purdy, Brendan	4	2020-08-11	50	0.19	596,000	596,000
Organic Flower Investments Group Inc. (formerly Q Investments Ltd.)	Options	van der Linde, Theo	4	2020-08-11	50		1,247,000	597,000
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2020-08-17	10	0.19	502,750	37,500
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2020-08-18	10	0.19	527,750	25,000
Origen Resources Inc.	Common Shares	Schellenberg, Gary David Albert	4	2020-08-19	10	0.19	552,750	25,000
Origen Resources Inc.	Common Shares	Schellenberg, Geoff	4	2020-08-13	10	0.2	71,000	35,000
Origen Resources Inc.	Common Shares	Schellenberg, Geoff	4	2020-08-18	10	0.19	81,000	10,000
Origen Resources Inc.	Common Shares	Schellenberg, Geoff	4	2020-08-19	10	0.2	91,000	10,000
Orla Mining Ltd.	Common Shares	Albino, George Vincent	4	2020-08-18	10	5	226,000	-200,000
Orla Mining Ltd.	Common Shares	Albino, George Vincent	4	2020-08-19	51	1.39	451,000	225,000
Orla Mining Ltd.	Common Shares	Albino, George Vincent	4	2020-08-20	51	1.39	526,000	75,000
Orla Mining Ltd.	Options	Albino, George Vincent	4	2020-08-19	51		279,819	-225,000
Orla Mining Ltd.	Options	Albino, George Vincent	4	2020-08-20	51		204,819	-75,000
Orogen Royalties Inc.	Common Shares	Thompson, John Francis Hugh	4	2015-05-13	00		100,000	
Orogen Royalties Inc.	Options	Thompson, John Francis Hugh	4	2015-05-13	00			

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Orogen Royalties Inc.	Options	Thompson, John Francis Hugh	4	2015-05-13	00			
Orsu Metals Corporation	Common Shares	Corra, Mark	4	2020-08-19	10	0.395	144,557	-250
Orsu Metals Corporation	Common Shares	Corra, Mark	4	2020-08-20	51	0.2	294,557	150,000
Orsu Metals Corporation	Options	Corra, Mark	4	2020-08-20	51		140,000	-150,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2020-08-07	10	0.44	629,000	-29,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2020-08-10	10	0.435	589,000	-40,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2020-08-11	10	0.43	557,000	-32,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2020-08-13	10	0.41	532,000	-25,000
Orsu Metals Corporation	Common Shares	Rhodes, David John	4	2020-08-17	10	0.3525	332,000	-200,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Allard, Guy Paul	5	2020-08-21	16	0.32	108,475	78,125
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Allard, Guy Paul	5	2020-08-21	16		298,125	78,125
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Atkin, Michael	4	2020-08-21	16	0.32	65,000	53,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Atkin, Michael	4	2020-06-18	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Atkin, Michael	4	2020-08-21	16		53,000	53,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Laurin, Pierre	4	2020-08-21	16	0.32	368,500	312,500
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Laurin, Pierre	4	2020-08-21	16		312,500	312,500
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Leduc, Claude	5	2019-06-17	00			
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Leduc, Claude	5	2020-08-21	16	0.32	100,000	100,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Leduc, Claude	5	2020-08-21	16		480,000	100,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Common Shares	Manitex Capital Inc.	3	2020-08-21	16	0.32	5,178,858	70,000
ORTHO REGENERATIVE TECHNOLOGIES INC.	Warrants	Manitex Capital Inc.	3	2020-08-21	16		2,398,000	70,000
Osino Resources Corp.	Common Shares	Naudie, Margot	4	2020-08-20	00			
Osino Resources Corp.	Options	Naudie, Margot	4	2020-08-20	00			
Osino Resources Corp.	Warrants	Naudie, Margot	4	2020-08-20	00			
Osino Resources Corp.	Common Shares	Singer, Marvin Joseph	4	2020-08-20	00		75,000	
Osino Resources Corp.	Options	Singer, Marvin Joseph	4	2020-08-20	00			
Osino Resources Corp.	Warrants	Singer, Marvin Joseph	4	2020-08-20	00		37,500	
OSISKO GOLD ROYALTIES LTD	Options	Desharnais, Guy	5	2020-08-17	50	14.5	47,100	8,700

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OSISKO GOLD ROYALTIES LTD	Rights Restricted Share Units/Unités d'actions restreintes	Desharnais, Guy	5	2020-08-17	56	14.5	19,999	3,500
Palamina Corp.	Common Shares	Thomson, Andrew	4	2020-08-20	10	0.285	794,916	2,000
ParcelPal Technology Inc.	Common Shares	Wheeless, Rich	5	2020-07-15	16	0.09	1,500,000	500,000
Parex Resources Inc.	Common Shares	Fowler, Ryan	5	2020-08-12	51	10.94	139,300	66,000
Parex Resources Inc.	Common Shares	Fowler, Ryan	5	2020-08-12	10	19.02	73,300	-66,000
Parex Resources Inc.	Common Shares	Fowler, Ryan	5	2020-08-18	57	0.01	106,300	33,000
Parex Resources Inc.	Common Shares	Fowler, Ryan	5	2020-08-18	10	19.14	73,300	-33,000
Parex Resources Inc.	Options	Fowler, Ryan	5	2020-08-12	51	10.94	122,500	-66,000
Parex Resources Inc.	Restricted Share Unit	Fowler, Ryan	5	2020-08-18	57	0.01	70,000	-33,000
Parex Resources Inc.	Common Shares	Pinsky, Kenneth George	5	2020-08-17	51	10.94	366,680	35,000
Parex Resources Inc.	Common Shares	Pinsky, Kenneth George	5	2020-08-17	10	19.25	331,676	-35,004
Parex Resources Inc.	Options	Pinsky, Kenneth George	5	2020-08-17	51	10.94	186,801	-35,000
Parex Resources Inc.	Common Shares	Taylor, David Robert	5	2020-08-18	57	0.01	569,788	30,000
Parex Resources Inc.	Common Shares	Taylor, David Robert	5	2020-08-18	10	19.3	539,788	-30,000
Parex Resources Inc.	Restricted Share Unit	Taylor, David Robert	5	2020-08-18	57	0.01	178,050	-30,000
Park Lawn Corporation	Deferred Share Units	Brophy, Marilyn Anne	4	2020-06-22	00			
Park Lawn Corporation	Deferred Share Units	Brophy, Marilyn Anne	4	2020-08-19	56		50	50
Park Lawn Corporation	Deferred Share Units	Freedman, Amy Leanne	4	2020-06-22	00			
Park Lawn Corporation	Deferred Share Units	Freedman, Amy Leanne	4	2020-08-19	56		90	90
Park Lawn Corporation	Common Shares	Robinson, Deborah Wallis	4	2020-08-20	10	27.9	8,850	150
Park Lawn Corporation	Common Shares	Robinson, Deborah Wallis	4	2020-08-21	10	27.9	9,000	150
Park Lawn Corporation	Deferred Share Units	Scott, Steven Robert	4	2020-08-19	56		11,202	200
Park Lawn Corporation	Deferred Share Units	Scott, Steven Robert	4	2020-08-19	56		11,306	104
Park Lawn Corporation	Deferred Share Units	Smith, Paul G.	4	2020-08-19	56		5,212	61
Park Lawn Corporation	Deferred Share Units	Ward, William John	4	2020-08-19	56		10,692	173
Park Lawn Corporation	Deferred Share Units	Ward, William John	4	2020-08-19	56		10,796	104
Patagonia Gold Corp.	Options	Argarate, Matias Francisco	5	2020-08-13	50		800,000	400,000
Patagonia Gold Corp.	Options	Hardy, Kim Leon	5	2020-08-13	50	0.16	1,000,000	500,000
Patagonia Gold Corp.	Options	Harper, Alexander James Christopher	4	2020-08-13	50		1,000,000	500,000
Patagonia Gold Corp.	Options	Hunt, Timothy	3, 4, 5	2020-08-13	50		1,000,000	500,000
Patagonia Gold Corp.	Options	lopez saubidet, cristian	4	2020-08-13	50		2,000,000	1,000,000
Patagonia Gold Corp.	Options	Martinis Tiplisky, Antonio Luis	5	2020-08-13	50		550,000	300,000
Patagonia Gold Corp.	Options	Miguens, Carlos Jose	3, 4	2020-08-13	50		1,000,000	500,000
Patagonia Gold Corp.	Options	Sanguin, Jorge	5	2020-08-13	50		1,800,000	1,000,000
Patagonia Gold Corp.	Options	van Tienhoven, Christopher	5	2020-08-13	50	0.16	2,500,000	1,500,000
Pelangio Exploration Inc.	Options	Hannon, James	4	2020-08-20	00			
Pelangio Exploration Inc.	Options	Hannon, James	4	2020-08-20	50	0.23	65,000	65,000
Peloton Minerals Corporation	Common Shares	ELLWOOD, EDWARD LEITH	5	2020-08-19	10	0.11	4,177,796	3,000
Pembina Pipeline Corporation	Options	Andersen, Harold	5	2020-08-19	50	35.39	188,651	18,707
Pembina Pipeline Corporation	Options	Balfour, Carl Ian	5	2020-08-19	50	35.39	56,870	3,464
Pembina Pipeline Corporation	Options	Burrows, J. Scott	5	2020-08-19	50	35.39	226,768	24,942

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Pembina Pipeline Corporation	Options	Charlesworth, Allan	5	2020-08-19	50	35.39	103,538	5,254
Pembina Pipeline Corporation	Options	Croney, Craig	5	2020-08-19	50	35.39	67,455	3,349
Pembina Pipeline Corporation	Options	Day, Craig	5	2020-08-19	50	35.39	71,323	4,504
Pembina Pipeline Corporation	Options	De la Mare, John	5	2020-08-19	50	35.39	56,750	3,291
Pembina Pipeline Corporation	Options	Dilger, Michael H.	5	2020-08-19	50	35.39	1,599,768	120,554
Pembina Pipeline Corporation	Options	Forrest, Jennifer	5	2020-08-19	50	35.39	37,903	1,885
Pembina Pipeline Corporation	Options	Goldade, Cameron	5	2020-08-19	50	35.39	32,676	3,464
Pembina Pipeline Corporation	Options	Hecker, Tracy Krista	5	2020-08-19	50	35.39	56,501	3,464
Pembina Pipeline Corporation	Options	Kohlsmith, Brad	5	2020-08-19	50	35.39	39,087	3,464
Pembina Pipeline Corporation	Options	Koski, Michael James	5	2020-08-19	50	35.39	34,301	5,479
Pembina Pipeline Corporation	Options	Lunt, Laura	5	2020-08-19	50	35.39	49,202	3,176
Pembina Pipeline Corporation	Options	Marine, Darren	5	2020-08-19	50	35.39	49,807	5,254
Pembina Pipeline Corporation	Options	Murphy, Paul John	5	2020-08-19	50	35.39	273,562	22,448
Pembina Pipeline Corporation	Options	Rawcliffe, Brenda Lynn	5	2020-08-19	50	35.39	14,483	1,049
Pembina Pipeline Corporation	Options	Scherman, Chris	5	2020-08-19	50	35.39	42,081	4,504
Pembina Pipeline Corporation	Options	Sprott, Jaret	5	2020-08-19	50	35.39	177,781	18,707
Pembina Pipeline Corporation	Options	STUBBS, CATHERINE JENNIFER	5	2020-08-19	50	35.39	37,440	2,771
Pembina Pipeline Corporation	Options	Taylor, Stuart	5	2020-08-19	50	35.39	229,705	23,695
Pembina Pipeline Corporation	Options	Walsh, Patrick Scott	5	2020-08-19	50	35.39	41,868	4,504
Pembina Pipeline Corporation	Options	Wiun, Jason Travis	5	2020-08-19	56	35.39	174,716	18,707
Pembina Pipeline Corporation	Options	Young, John	5	2020-08-19	50	35.39	40,536	3,002
Pender Growth Fund Inc.	Common Shares Class C	PenderFund Capital Management Ltd.	2	2020-08-17	10	2.9598	32,291	26,300
Perpetual Energy Inc.	Options	Green, Jeff	5	2020-08-19	52	2	555,000	-10,750
Perpetual Energy Inc.	Options	Maitland, Robert A.	4	2020-08-19	52	2	158,000	-1,500
Perpetual Energy Inc.	Options	McKean, Linda Lee	5	2020-08-19	52	2	785,000	-10,750
Perpetual Energy Inc.	Options	Merritt, Geoffrey Craig	4	2020-08-19	52	2	158,000	-1,500
Perpetual Energy Inc.	Options	Rapini, Marcello	5	2020-08-19	52	2	550,000	-12,500
Perpetual Energy Inc.	Options	Riddell Rose, Susan	4, 5	2020-08-19	52	2	1,650,000	-27,500
Perpetual Energy Inc.	Options	Ward, Howard	4	2020-08-19	52	2	158,000	-1,500
PetroShale Inc.	Exchange Rights	FR XIII PetroShale Holdings L.P.	3	2020-08-14	30		41,702,044	1,214,622
PetroShale Inc.	Preferred Shares Series 1, Class A	FR XIII PetroShale Holdings L.P.	3	2020-08-14	30		41,702,044	1,214,622
PetroShale Inc.	Performance Bonus Awards	Morgret, Caleb George	5	2020-08-21	56		977,120	959,200
PetroShale Inc.	Restricted Bonus Awards	Morgret, Caleb George	5	2020-08-21	56		477,613	239,800
PetroShale Inc.	Performance Bonus Awards	Rain, David James	4	2013-11-25	00			
PetroShale Inc.	Performance Bonus Awards	Rain, David James	4	2020-08-19	56	0.15	500,000	500,000

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PetroShale Inc.	Restricted Bonus Awards	Rain, David James	4	2020-08-19	56	0.15	316,667	250,000
PetroTal Corp. (formerly Sterling Resources Ltd.)	Common Shares	Barker, Eleanor Jean	4	2019-12-19	00			
PetroTal Corp. (formerly Sterling Resources Ltd.)	Common Shares	Barker, Eleanor Jean	4	2020-08-20	10	0.2	200,000	200,000
Petroteq Energy Inc.	Common Shares	Blyumkin, Aleksandr	4, 5	2020-08-20	11	0.04	24,765,274	2,356,374
Peyto Exploration & Development Corp.	Options	Burdick, Todd	5	2020-08-20	50		365,000	11,000
Peyto Exploration & Development Corp.	Options	Burdick, Todd	5	2020-08-20	50		376,000	11,000
Peyto Exploration & Development Corp.	Options	Burdick, Todd	5	2020-08-20	50		387,000	11,000
Peyto Exploration & Development Corp.	Options	Chetner, Stephen Jonathan	4	2020-08-20	50	3.03	74,200	2,000
Peyto Exploration & Development Corp.	Options	Chetner, Stephen Jonathan	4	2020-08-20	50	3.03	76,200	2,000
Peyto Exploration & Development Corp.	Options	Chetner, Stephen Jonathan	4	2020-08-20	50	3.03	78,200	2,000
Peyto Exploration & Development Corp.	Options	Curran, Lee Russell	5	2020-08-20	50		454,767	14,200
Peyto Exploration & Development Corp.	Options	Curran, Lee Russell	5	2020-08-20	50		468,967	14,200
Peyto Exploration & Development Corp.	Options	Curran, Lee Russell	5	2020-08-20	50		483,167	14,200
Peyto Exploration & Development Corp.	Rights Deferred Share Units	Davis, Brian	4	2020-08-20	56		13,870	5,363
Peyto Exploration & Development Corp.	Options	Gee, Darren	5	2020-08-20	50		763,100	22,000
Peyto Exploration & Development Corp.	Options	Gee, Darren	5	2020-08-20	50		785,100	22,000
Peyto Exploration & Development Corp.	Options	Gee, Darren	5	2020-08-20	50		807,100	22,000
Peyto Exploration & Development Corp.	Rights Deferred Share Units	Gray, Don	4	2020-08-20	56		19,205	7,425
Peyto Exploration & Development Corp.	Options	Lachance, Jean-Paul Henri	5	2020-08-20	50		670,667	21,000
Peyto Exploration & Development Corp.	Options	Lachance, Jean-Paul Henri	5	2020-08-20	50		691,667	21,000
Peyto Exploration & Development Corp.	Options	Lachance, Jean-Paul Henri	5	2020-08-20	50		712,667	21,000
Peyto Exploration & Development Corp.	Options	Louie, Timothy	5	2020-08-20	50		233,900	6,700
Peyto Exploration & Development Corp.	Options	Louie, Timothy	5	2020-08-20	50		240,600	6,700
Peyto Exploration & Development Corp.	Options	Louie, Timothy	5	2020-08-20	50		247,300	6,700
Peyto Exploration & Development Corp.	Rights Deferred Share Units	MacBean, Michael	4	2020-08-20	56		14,937	5,775
Peyto Exploration & Development Corp.	Options	Robinson, Scott	5	2020-08-20	50		273,500	16,000
Peyto Exploration & Development Corp.	Options	Robinson, Scott	5	2020-08-20	50		289,500	16,000
Peyto Exploration & Development Corp.	Options	Robinson, Scott	5	2020-08-20	50		305,500	16,000
Peyto Exploration & Development Corp.	Rights Deferred Share Units	Rossall, John Williamson	4	2020-08-20	56		13,871	5,363
Peyto Exploration & Development Corp.	Options	Thomas, David Alan	5	2020-08-20	50		526,500	15,000
Peyto Exploration & Development Corp.	Options	Thomas, David Alan	5	2020-08-20	50		541,500	15,000
Peyto Exploration & Development Corp.	Options	Thomas, David Alan	5	2020-08-20	50		556,500	15,000
Peyto Exploration & Development Corp.	Common Shares	Turgeon, Kathy	5	2020-08-20	51	3.18	130,610	45,000

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Peyto Exploration & Development Corp.	Options	Turgeon, Kathy	5	2020-08-20	50		451,434	14,200
Peyto Exploration & Development Corp.	Options	Turgeon, Kathy	5	2020-08-20	50		465,634	14,200
Peyto Exploration & Development Corp.	Options	Turgeon, Kathy	5	2020-08-20	50		479,834	14,200
Peyto Exploration & Development Corp.	Options	Turgeon, Kathy	5	2020-08-20	51		434,834	-45,000
Phoenix Gold Resources Corp.	Common Shares	Choi, Jun-Hyouk	5	2014-04-23	00			
Phoenix Gold Resources Corp.	Common Shares	Choi, Jun-Hyouk	5	2020-08-18	46	0.05	3,750,000	3,750,000
Phoenix Gold Resources Corp.	Common Shares	Lee, Andrew	4	2014-04-23	00			
Phoenix Gold Resources Corp.	Common Shares	Lee, Andrew	4	2020-08-18	45	0.05	14,596,780	14,596,780
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Brown, Craig	5	2020-08-17	57	1.1	370,935	-8,334
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Buker, Michael Leslie	5	2020-08-17	57	1.1	371,790	-8,334
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Freeman, Terrance	4	2020-08-14	57	1.08	96,953	-5,556
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Hooks, John Michael	5	2020-08-17	57	1.1	438,133	-8,334
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Ritchie, Cameron Michael	5	2020-08-17	57	1.1	373,317	-8,334
PHX Energy Services Corp.	Retention Awards (Cash-based Only)	Shafer, Jeffery John	5	2020-08-17	57	1.1	369,387	-8,334
Pieridae Energy Limited	Common Shares	Boulanger, Charles	4	2020-08-18	10	0.365	276,295	5,500
Pieridae Energy Limited	Common Shares	Boulanger, Charles	4	2020-08-18	10	0.38	310,795	34,500
Pieridae Energy Limited	Common Shares	Boulanger, Charles	4	2020-08-20	10	0.37	320,795	10,000
Pieridae Energy Limited	Common Shares	Judson, Andrew George	4	2020-08-13	10	0.3637	372,682	106,000
Pine Cliff Energy Ltd.	Common Shares	Disbrow, Robert	3	2020-08-17	10	0.17	23,105,500	150,000
Pine Cliff Energy Ltd.	Common Shares	Hodge, Philip Blake	4, 5	2020-08-17	10	0.17	6,654,391	30,000
Pinetree Capital Ltd.	Common Shares	Howat, Ian Peter	4	2020-08-18	10	1.08	10,000	10,000
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-08-19	10	1.08	2,978,315	2,800
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-08-20	10	1.08	2,984,515	6,200
Pinetree Capital Ltd.	Common Shares	L6 Holdings Inc.	3	2020-08-21	10	1.08	2,988,515	4,000
Pinnacle Renewable Energy Inc.	Common Shares	Bassett, Vaughan Tod	5	2020-08-17	10	6.25	65,000	5,000
Pinnacle Renewable Energy Inc.	RSU	Bassett, Vaughan Tod	5	2020-08-15	56		10,000	10,000
Pinnacle Renewable Energy Inc.	RSU	Bax, Scott Bernard	5	2020-08-15	56		12,940	12,000
Pinnacle Renewable Energy Inc.	RSU	Bell, Patrick Ward	4	2020-08-14	56		6,194	1,031
Pinnacle Renewable Energy Inc.	RSU	Davies, Duncan Kenneth	4	2020-04-21	00			
Pinnacle Renewable Energy Inc.	RSU	Davies, Duncan Kenneth	4	2020-08-14	56		759	759
Pinnacle Renewable Energy Inc.	RSU	Johnston, Andrea Louise	5	2020-08-15	56		16,701	12,000
Pinnacle Renewable Energy Inc.	RSU	MacDiarmid, John Hugh	4	2020-08-14	56		6,188	1,031
Pinnacle Renewable Energy Inc.	RSU	McLennan, Rex John	4	2020-08-14	56		2,279	1,031
Pinnacle Renewable Energy Inc.	RSU	O'Hagan, Jane	4	2020-08-14	56		6,194	1,031
Pinnacle Renewable Energy Inc.	RSU	Sangra, Ranjeev	5	2018-07-31	00			

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Pinnacle Renewable Energy Inc.	RSU	Sangra, Ranjeev	5	2020-08-15	56		6,000	6,000
Pinnacle Renewable Energy Inc.	RSU	Strong, Erin	5	2020-08-15	56		5,494	5,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	BRAUN, Garth John	4	2020-08-20	56		97,593	25,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Erickson, Darcy Glen	5	2020-08-14	10	0.6352	160,832	77,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Lancaster, William	4	2020-08-18	10	0.59	52,939	5,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Lancaster, William	4	2020-08-18	10	0.57	74,439	21,500
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Lancaster, William	4	2020-08-18	10	0.58	88,939	14,500
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Ritchie, Gordon Malcolm	4	2020-08-20	56		102,778	25,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Restricted Share Units	Rossall, John Williamson	4	2020-08-20	56		97,593	25,000
Pipestone Energy Corp. (formerly, Blackbird Energy Inc.)	Common Shares	Wanklyn, Robert Paul	4, 5	2020-08-14	10	0.6608	202,000	42,000
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2020-05-04	54	1.4	375,000	125,000
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2020-08-19	90		0	-375,000
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2018-06-11	00			
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2018-06-11	00			
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2018-06-11	00		250,000	
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2020-05-04	54	1.4		125,000
Planet 13 Holdings Inc.	Common Shares	Logan, Dennis	5	2020-08-19	90		46,875	46,875
Plateau Energy Metals Inc.	Common Shares	Disbrow, Robert	3	2020-08-20	10	0.36	6,880,612	-3,500
Platinex Inc.	Options	Warren, Graham	4	2020-08-17	50	0.07	1,000,000	250,000
Plaza Retail REIT	RSUs	Drake, James (Jim)	5	2020-08-17	30	3.47	4,200	25
Plaza Retail REIT	RSUs	Mackenzie, Peter	5	2020-08-17	30	3.47	5,454	34
Plaza Retail REIT	RSUs	Penney, Stephen	5	2020-08-17	30	3.47	4,200	25
Plaza Retail REIT	RSUs	Petrie, James M.	5	2020-08-17	30	3.47	6,467	41
Plaza Retail REIT	RSUs	Strange, Kimberly A.	5	2020-08-17	30	3.47	1,114	6
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2018-02-21	10	18.45		2,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-19	10	17.8		1,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-19	10	17.8		1,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-20	10	17.891		6,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-20	10	17.891		6,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2018-02-21	10	18.45	82,100	2,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-19	10	17.8	83,100	1,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-20	10	17.891	89,100	6,000
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-21	10			-89,100
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2020-08-21	99		0	-89,100
Pollard Banknote Limited	Common Shares	Leach, Garry Arthur	4	2010-05-18	00		89,100	

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Premier Health of America Inc. (formerly known as Physinorth Acquisition Corporation Inc.)	Common Shares	Chouinard, Eric	4	2020-08-21	10	0.4	95,830	62,500
Premier Health of America Inc. (formerly known as Physinorth Acquisition Corporation Inc.)	Common Shares	Laberge, Marie	4	2020-08-21	10	0.5	60,000	16,000
Premier Health of America Inc. (formerly known as Physinorth Acquisition Corporation Inc.)	Common Shares	Marleau, Hubert	4	2020-08-21	10	0.4	162,500	62,500
Premier Health of America Inc. (formerly known as Physinorth Acquisition Corporation Inc.)	Common Shares	Pronovost, Jean-Robert	4, 5	2020-08-21	10	0.4	112,500	62,500
Premium Brands Holdings Corporation	Common Shares	Kalutycz, William Dion	5	2020-08-14	30	99.82	149,289	-10,000
Pretium Resources Inc.	Common Shares	Prins, David William	5	2020-08-18	51	6.75	100,352	73,000
Pretium Resources Inc.	Common Shares	Prins, David William	5	2020-08-18	10	16.641	27,352	-73,000
Pretium Resources Inc.	Options	Prins, David William	5	2020-08-18	51	6.75	286,835	-73,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-03-30	10	0.01	20,120,000	-700,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-04-02	10	0.015	20,108,000	-12,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-04-06	10	0.01	19,608,000	-500,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-06-10	10	0.015	17,079,000	-1,500,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-06-11	10	0.015		-1,159,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-06-11	10	0.015		-1,159,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-06-11	10	0.015		-141,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-06-11	10	0.015		-141,000
Primo Nutraceuticals Inc.	Common Shares	Cindric, Richard	4, 5	2020-06-11	10	0.015	15,779,000	-1,300,000
Prodigy Ventures Inc.	Common Shares	Beckerman, Tom	4, 5	2020-08-17	10	0.1	11,542,481	-5,000
PYROGENESIS CANADA INC.	Common Shares	Carabin, Pierre	5	2020-08-17	10			30,000
PYROGENESIS CANADA INC.	Common Shares	Carabin, Pierre	5	2020-08-17	10			30,000
PYROGENESIS CANADA INC.	Common Shares	Carabin, Pierre	5	2020-08-17	51	0.52	541,500	30,000
PYROGENESIS CANADA INC.	Options	Carabin, Pierre	5	2020-08-17	51	0.52	70,000	-30,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-08-10	10	1.9499	306,100	306,100
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-08-11	10	1.9424	352,300	46,200
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-08-12	10	1.9409	402,300	50,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-08-13	10	1.927	436,300	34,000
Quarterhill Inc. (formerly, Wi-LAN Inc.)	Common Shares	Quarterhill Inc.	1	2020-08-14	10	1.9006	478,000	41,700
Quebecor Inc.	Options	Brosseau, Sylvain	7	2020-08-14	50		85,000	25,000
Quebecor Inc.	Options	Cloutier, Philippe	7	2020-08-14	50		100,000	40,000
Quebecor Inc.	Options	JettO, Christian	7	2020-08-14	50		85,000	25,000

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Quebecor Inc.	Options	Lauzière, France	7	2020-08-14	50		250,000	75,000
Quebecor Inc.	Options	Novak, Jean	7	2020-08-14	50		55,000	15,000
Quebecor Inc.	Options	Pruneau, Jean-François	7	2020-08-14	50		280,000	100,000
Quebecor Inc.	Options	Robitaille, Lyne	7	2020-08-14	50		150,000	50,000
Quebecor Inc.	Options	Simard, Hugues	5	2020-08-14	50		90,000	50,000
Quebecor Inc.	Options	Tremblay, Marc	7, 5	2020-08-14	50		260,000	100,000
Quebecor Inc.	Options	Tremblay, Martin	7	2020-08-14	50		130,000	30,000
Quebecor Inc.	Options	Turbide, Mathieu	7	2020-08-14	50		85,000	25,000
QYOU Media Inc.	Options	Beeks, Steve	4	2020-08-14	50		350,000	250,000
QYOU Media Inc.	Options	Lee, Damian	4	2020-08-14	50		500,000	250,000
QYOU Media Inc.	Options	Marvis, Curt Wayne	4, 5	2020-08-14	50		2,600,275	1,000,000
QYOU Media Inc.	Restricted Share Units	Marvis, Curt Wayne	4, 5	2020-08-14	56		3,000,000	1,250,000
QYOU Media Inc.	Options	Paterson, G. Scott	4	2020-08-14	50		2,231,496	1,000,000
QYOU Media Inc.	Restricted Share Units	Paterson, G. Scott	4	2020-08-14	56		2,150,000	1,000,000
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2018-01-15	55		0	-270,000
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2018-01-15	55		150,000	-420,098
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2019-03-10	55		500,000	-150,000
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2020-07-19	55		2,500,000	-500,000
QYOU Media Inc.	Warrants	Paterson, G. Scott	4	2019-10-30	55		2,500,000	-500,000
Rain City Resources Inc.	Common Shares	Crest Resources Inc.	3	2020-08-21	00			
Rain City Resources Inc.	Common Shares	Crest Resources Inc.	3	2020-08-21	11	0.018	4,100,000	4,100,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-08-17	10	29.999	3,949,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-08-18	10	29.735		-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-08-18	10	29.735	3,946,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-08-19	10	29.403	3,943,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-08-20	10	29.828	3,940,384	-3,000
Real Matters Inc.	Common Shares	Smith, Jason	4, 5	2020-08-21	10	29.601	3,937,384	-3,000
Reconnaissance Energy Africa Ltd.	Common Shares	Elliott, David Brian	3	2020-08-18	15	0.7	1,500,000	175,000
Reconnaissance Energy Africa Ltd.	Warrants	Elliott, David Brian	3	2020-08-18	15	1	925,000	175,000
Redline Communications Group Inc.	Common Shares	McGrath, Ronan Dominic	4	2020-08-17	00			
Redline Communications Group Inc.	Common Shares	McGrath, Ronan Dominic	4	2020-08-17	50	0.79	25,000	25,000
Redline Communications Group Inc.	Options	McGrath, Ronan Dominic	4	2020-08-17	00		25,000	
Redline Communications Group Inc.	Options	Roberts, David John	4	2020-08-17	50	0.79	56,250	6,250
Relay Medical Corp. (formerly, ChroMedX Corp).	Common Shares	Invidx Corp	3	2020-08-19	10		14,003,052	-239,000
Renaissance Gold Inc.	Common Shares	Orogen Royalties Inc.	3	2020-08-18	00			
Renaissance Gold Inc.	Common Shares	Orogen Royalties Inc.	3	2020-08-18	22		69,736,927	69,736,927
RepliCel Life Sciences Inc.	Common Shares	Hall, David M.	4, 5	2020-08-18	16	0.18	398,049	95,833
RepliCel Life Sciences Inc.	Common Shares	Lewis, Peter Winston	4	2020-08-14	11	0.18	151,999	76,389
RepliCel Life Sciences Inc.	Common Shares	Lowry, Peter	4	2020-08-18	16	0.18	777,154	119,438
RepliCel Life Sciences Inc.	Common Shares	McElwee, Kevin	3	2020-08-18	16	0.18	610,685	131,250
RepliCel Life Sciences Inc.	Common Shares	Schutte, Andrew	4	2020-08-18	16	0.18	3,731,571	714,693

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Reservoir Capital Corp.	Common Shares	Gueneau, Vincent Thomas Paul	3, 4	2020-08-18	37		100,000	-9,900,000
Reservoir Capital Corp.	Common Shares	Gueneau, Vincent Thomas Paul	3, 4	2020-08-18	37		888,000	-87,912,000
Reservoir Capital Corp.	Common Shares	Gueneau, Vincent Thomas Paul	3, 4	2020-08-18	37		370,000	-36,630,000
Reservoir Capital Corp.	Common Shares	Kappafrik Management DMCC	3	2020-08-18	37		888,000	-87,912,000
Reservoir Capital Corp.	Common Shares	Mathonnet, Vianney StOphane Marie Nicolas	4	2020-08-18	37		21,630	-2,141,370
Resverlogix Corp.	Common Shares	Shenzhen Hepalink Pharmaceutical Group Co., Ltd.	3	2015-07-20	00			
Resverlogix Corp.	Common Shares	Shenzhen Hepalink Pharmaceutical Group Co., Ltd.	3	2020-08-14	16	0.75	3,573,333	3,573,333
Resverlogix Corp.	Warrants	Shenzhen Hepalink Pharmaceutical Group Co., Ltd.	3	2020-07-20	55		9,679,952	-1,000,000
Resverlogix Corp.	Warrants	Shenzhen Hepalink Pharmaceutical Group Co., Ltd.	3	2015-07-20	00			
Resverlogix Corp.	Warrants	Shenzhen Hepalink Pharmaceutical Group Co., Ltd.	3	2020-08-14	16		1,786,667	1,786,667
Revival Gold Inc.	Common Shares	Agro, Hugh	3, 4, 5	2020-08-18	10	1	3,677,339	5,000
Revival Gold Inc.	Common Shares	Agro, Hugh	3, 4, 5	2020-08-21	10	1.1	3,682,339	5,000
Rex Opportunity Corp.	Common Shares	Carpenter, Adam	5	2020-05-22	00			
Rex Opportunity Corp.	Common Shares	Carpenter, Adam	5	2020-08-17	11	0.06	87,500	87,500
Rex Opportunity Corp.	Common Shares	Destunis, Evan	5	2020-03-15	00			
Rex Opportunity Corp.	Common Shares	Destunis, Evan	5	2020-08-17	11	0.06	175,000	175,000
Rex Opportunity Corp.	Common Shares	Guebert, David Dean	4	2020-08-17	11	0.06	200,000	100,000
Rex Opportunity Corp.	Common Shares	Ibbitson, Douglas Scott	5	2020-07-01	00			
Rex Opportunity Corp.	Common Shares	Ibbitson, Douglas Scott	5	2020-08-17	11	0.06	200,000	200,000
Rex Opportunity Corp.	Common Shares	Im, Daniel	4	2020-08-17	11	0.06	291,667	166,667
Rex Opportunity Corp.	Common Shares	Kofman, Thomas	4	2020-08-17	11	0.06	458,333	333,333
Rex Opportunity Corp.	Common Shares	McKitrick, Kyle	5	2020-05-22	00			
Rex Opportunity Corp.	Common Shares	McKitrick, Kyle	5	2020-08-17	11	0.06	83,333	83,333
Rex Opportunity Corp.	Common Shares	Reid, Bruce	3	2020-08-17	11	0.0583	11,733,602	-6,000,000
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-08-12	35	33.87	2,661	4
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-08-19	30	35.098	2,693	32
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-08-12	35	33.87	11,157	19
Richelieu Hardware Ltd.	Common Shares	Auclair, Antoine	5	2020-08-19	30	35.098	11,231	74
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2020-08-12	35	33.87	52,340	8
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2020-08-19	30	35.098	52,445	105
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2020-08-19	10	35.7	49,445	-3,000
Richelieu Hardware Ltd.	Common Shares	Grenier, Guy	5	2020-08-12	35	33.87	75,220	9
Richelieu Hardware Ltd.	Common Shares	Lord, Richard	4, 5	2020-08-12	35	33.87	4,226,926	111
Richelieu Hardware Ltd.	Common Shares	Lord, Richard	4, 5	2020-08-19	30	35.098	4,226,994	68
Ridgeline Minerals Corp.	Common Shares	LO, DUANE	4	2020-07-31	00		700,000	

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Ridgeline Minerals Corp.	Common Shares	LO, DUANE	4	2020-08-13	15	0.45	756,000	56,000
Ridgeline Minerals Corp.	Options	LO, DUANE	4	2020-07-31	00		500,000	
Ridgeline Minerals Corp.	Warrants	LO, DUANE	4	2020-07-31	00			
Ridgeline Minerals Corp.	Warrants	LO, DUANE	4	2020-08-13	15	0.55	28,000	28,000
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-08-17	10	16.652	10,650,065	590
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-08-17	10	16.83	10,650,059	-6
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-08-18	10	16.651	10,650,488	429
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-08-18	10	16.66	10,650,458	-30
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-08-19	10	16.66	10,650,637	179
Ridgewood Canadian Investment Grade Bond Fund	Units	Ridgewood Capital Asset Management	3	2020-08-19	10	16.66	10,650,457	-180
RIOCAN REAL ESTATE INVESTMENT TRUST	REUs for Employees	Jageshar, Bibi	8	2020-08-17	30		1,571	80
RIOCAN REAL ESTATE INVESTMENT TRUST	REUs for Employees	Jageshar, Bibi	8	2020-08-17	57			-502
RIOCAN REAL ESTATE INVESTMENT TRUST	REUs for Employees	Jageshar, Bibi	8	2020-08-17	57	15.41	1,069	-502
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Jageshar, Bibi	8	2016-09-07	00			
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Jageshar, Bibi	8	2020-08-19	57	15.41	502	502
RIOCAN REAL ESTATE INVESTMENT TRUST	REU for Senior Executives	Suess, Jennifer	5	2020-08-17	30		9,909	402
RIOCAN REAL ESTATE INVESTMENT TRUST	REU for Senior Executives	Suess, Jennifer	5	2020-08-17	57			-2,011
RIOCAN REAL ESTATE INVESTMENT TRUST	REU for Senior Executives	Suess, Jennifer	5	2020-08-17	57	15.41	7,898	-2,011
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Suess, Jennifer	5	2020-08-19	57	15.41	2,011	2,011
RIOCAN REAL ESTATE INVESTMENT TRUST	Trust Units	Suess, Jennifer	5	2020-08-19	30	15.41	934	-1,077
Ritchie Bros. Auctioneers Incorporated	Options	Ackley, Matthew Farrell	5	2020-08-19	59	17.76	107,145	-2,450
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	Briscoe, Beverley Anne	4	2020-08-14	56	51.21	38,463	625
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	DeWitt, Adam	4	2020-05-05	00			
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	DeWitt, Adam	4	2020-08-14	56	51.21	325	325

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Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	Elton, Robert George	4	2020-08-14	56	51.21	20,504	488
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	Fennell, Jonathan Kim	4	2020-08-14	56	51.21	7,789	488
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	Olsson, Erik	4	2020-08-14	56	51.21	18,352	773
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	Raiss, Sarah	4	2020-08-14	56	51.21	9,962	488
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	Shenkan, Amy Guggenheim	4	2020-08-14	56	51.21	7,789	488
Ritchie Bros. Auctioneers Incorporated	Options	Watt, Darren	5	2020-08-17	59	22.46	81,867	-4,599
Ritchie Bros. Auctioneers Incorporated	Rights Deferred Share Units	Zimmerman, Christopher	4	2020-08-14	56	51.21	21,412	488
Rockhaven Resources Ltd.	Common Shares	Donaldson, Larry Bryce	6	2020-08-20	11	0.285	650,877	350,877
Rockhaven Resources Ltd.	Warrants	Donaldson, Larry Bryce	6	2020-08-20	53	0.29	175,439	175,439
Rokmaster Resources Corp.	Common Shares	Pankratz, Adam	4	2020-08-18	10	0.427	830,000	71,000
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-08-17	10	3.04	1,115,000	-15,000
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-08-18	10	3.12	1,110,200	-4,800
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-08-18	10	3.125	1,110,000	-200
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-08-18	10	3.04	1,100,000	-10,000
Rupert Resources Ltd.	Common Shares	Nieminen, Jukka Sakari	7	2020-08-19	10	3.12	1,098,800	-1,200
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-13	51	1	40,000	40,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-13	10	2.95	0	-40,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-17	51	1	38,300	38,300
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-17	10	2.95	28,300	-10,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-17	10	3	0	-28,300
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-18	51	1	30,000	30,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-18	10	3.04	26,000	-4,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-18	10	3.06	16,000	-10,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-18	10	3.1	7,500	-8,500
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-18	10	3.13	1,500	-6,000
Rupert Resources Ltd.	Common Shares	Seabrook, Charlotte Louise	7	2020-08-18	10	3.15	0	-1,500
Rupert Resources Ltd.	Options	Seabrook, Charlotte Louise	7	2020-08-13	51	2.95		-40,000
Rupert Resources Ltd.	Options	Seabrook, Charlotte Louise	7	2020-08-13	51	2.95		-40,000
Rupert Resources Ltd.	Options	Seabrook, Charlotte Louise	7	2020-08-13	51	1	988,300	-40,000
Rupert Resources Ltd.	Options	Seabrook, Charlotte Louise	7	2020-08-17	51	1	950,000	-38,300

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Rupert Resources Ltd.	Options	Seabrook, Charlotte Louise	7	2020-08-18	51	1	920,000	-30,000
Sassy Resources Corporation	Options	Lightfoot, Peter	5	2020-08-17	00		100,000	
Savaria Corporation	Common Shares	Bourassa, Alexandre	5	2020-08-19	51	15.54	43,333	33,333
Savaria Corporation	Common Shares	Bourassa, Alexandre	5	2020-08-19	51	15.54	10,000	-33,333
Savaria Corporation	Options	Bourassa, Alexandre	5	2020-08-19	51	5	41,667	-33,333
ScoZinc Mining Ltd.	Common Shares	Haywood, Mark Stephen Richard	5	2020-08-20	10	0.43	503,952	5,000
Secure Energy Services Inc.	Common Shares	Callihoo, Michael Wayne	5	2020-08-17	57		33,527	12,868
Secure Energy Services Inc.	Common Shares	Callihoo, Michael Wayne	5	2020-08-17	10	1.8695	27,066	-6,461
Secure Energy Services Inc.	Units RSUs	Callihoo, Michael Wayne	5	2020-08-17	57		20,472	-12,868
Seven Aces Limited	Options	Booth, Roy Lester	5	2020-08-12	22	2.77	0	-750,000
Seven Aces Limited	Options	Boothe, Geoffrey Alan	4	2020-08-12	22	2.77	0	-125,000
Seven Aces Limited	Common Shares	Bouskill, Ryan Charles	5	2020-08-12	22	2.77	0	-275,194
Seven Aces Limited	Options	Bouskill, Ryan Charles	5	2020-08-12	22	2.77	0	-175,884
Seven Aces Limited	Options	Bouskill, Ryan Charles	5	2020-08-12	22	2.77	0	-1,169,475
Seven Aces Limited	Common Shares	Damani, Anil A.	7	2020-08-12	22	2.77	0	-294,174
Seven Aces Limited	Common Shares	Damani, Anil A.	7	2020-08-12	22	2.77	0	-1,338,674
Seven Aces Limited	Options	Freedlund, Kurt David	4	2020-08-12	22	2.77	0	-100,000
Seven Aces Limited	Common Shares	Greuner, David	7	2020-08-12	22		0	-4,500,000
Seven Aces Limited	Common Shares	Halina, Brian Allan	3	2020-08-12	22	2.77	0	-2,504,000
Seven Aces Limited	Common Shares	Halina, Brian Allan	3	2020-08-12	22	2.77	0	-4,786,000
Seven Aces Limited	Common Shares	Lerohl, Mark	4	2020-08-12	22	2.77	0	-200,000
Seven Aces Limited	Options	Lerohl, Mark	4	2020-08-12	22		0	-265,000
Seven Aces Limited	Common Shares	Ogilvie-Harris, Sheila	4	2020-08-12	30	2.77	0	-55,556
Seven Aces Limited	Common Shares	Ogilvie-Harris, Sheila	4	2020-08-12	22	2.77	0	-1,358,560
Seven Aces Limited	Options	Ogilvie-Harris, Sheila	4	2020-08-12	22		0	-410,967
Seven Aces Limited	Common Shares	Tonis, Adam M.	7	2020-08-12	22	2.77	0	-4,500,000
Seven Aces Limited	Common Shares	Williams, Chad	4	2020-08-12	22	2.77	0	-641,116
Seven Aces Limited	Options	Williams, Chad	4	2020-08-12	22	2.77	0	-265,000
Shawcor Ltd.	Options	Tausch, Henricus Adrianus Antonius Maria	5	2020-08-07	50			50,000
Shawcor Ltd.	Options	Tausch, Henricus Adrianus Antonius Maria	5	2020-08-08	50		217,569	50,000
Shopify Inc.	Options	Finkelstein, Harley Michael	5	2020-08-20	51	22.44	123,125	-790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-08-20	51	22.44	838	790
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Finkelstein, Harley Michael	5	2020-08-20	30	1003.6	48	-790
Shopify Inc.	RSU	Goodman, Gail Faye	4	2020-08-17	57		865	-53
Shopify Inc.	RSU	Goodman, Gail Faye	4	2020-08-17	57		629	-236
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Goodman, Gail Faye	4	2020-08-17	57		3,605	53
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Goodman, Gail Faye	4	2020-08-17	10	1003.5	3,592	-13
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Goodman, Gail Faye	4	2020-08-17	57		3,828	236

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Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Goodman, Gail Faye	4	2020-08-17	10	1003.5	3,768	-60
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Lemieux, Jean-Michel	5	2020-08-17	51	5.17	1,000	1,000
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Lemieux, Jean-Michel	5	2020-08-17	36		0	-1,000
Shopify Inc.	Options	Lemieux, Jean-Michel	5	2020-08-17	51	5.17	33,574	-1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-08-17	36		13,751	1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lemieux, Jean-Michel	5	2020-08-17	30	999	12,751	-1,000
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Lutke, Tobias Albin	4, 5	2020-08-17	30	1006.9	90,000	-5,000
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Miller, Craig Stuart	5	2020-08-20	51	6.22	2,916	2,916
Shopify Inc.	Multiple Voting Shares Class B Multiple Voting Shares	Miller, Craig Stuart	5	2020-08-20	36		0	-2,916
Shopify Inc.	Options	Miller, Craig Stuart	5	2020-08-20	51	6.22	89,453	-2,916
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Miller, Craig Stuart	5	2020-08-20	36		2,925	2,916
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Miller, Craig Stuart	5	2020-08-20	30	1002.2	9	-2,916
Shopify Inc.	Options	Shapero, Amy Elizabeth	5	2020-08-20	51	137.72	61,279	-656
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-08-20	51	137.72	15,339	656
Shopify Inc.	Subordinate Voting Shares Class A Subordinate Voting Shares	Shapero, Amy Elizabeth	5	2020-08-20	30	1003.5	14,683	-656
Sierra Growth Corp.	Options 2020 Option Grant	Janda, Sonny	4	2011-04-04	00			
Sierra Growth Corp.	Options 2020 Option Grant	Janda, Sonny	4	2020-08-17	50		250,000	250,000
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-08-14	57	17.84	36,701	5,231
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-08-14	10	17.84	33,902	-2,799
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-08-14	51	17.78	33,955	53
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-08-14	51	17.81	50,955	17,000
Sierra Wireless, Inc.	Common Shares	Krause, Jason Lawrence	5	2020-08-14	10	17.809	33,902	-17,053
Sierra Wireless, Inc.	Options	Krause, Jason Lawrence	5	2020-08-14	51	17.78	40,112	-53
Sierra Wireless, Inc.	Options	Krause, Jason Lawrence	5	2020-08-14	51	17.81	23,112	-17,000

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Sierra Wireless, Inc.	Restricted Share Units	Krause, Jason Lawrence	5	2020-08-14	57	17.84	182,197	-5,231
Sierra Wireless, Inc.	Common Shares	Link, Rene Fernando	5	2020-08-19	10	13.485	21,411	-8,000
Silver Dollar Resources Inc.	Common Shares	Naughty, Blair Lawrence	3	2020-08-18	10	1.95	1,478,000	40,000
Silver Elephant Mining Corp.	Options	Espell, Ronald Allen	5	2020-08-17	50		800,000	300,000
Silver Elephant Mining Corp.	Options	Merino-Marquez, Joaquin	5	2020-08-17	50		750,000	300,000
Silver Elephant Mining Corp.	Common Shares without par value	Plavutska, Irina	5	2020-08-14	10		0	-100,000
Silver Elephant Mining Corp.	Common Shares without par value	Plavutska, Irina	5	2020-08-14	51	0.2	50,000	50,000
Silver Elephant Mining Corp.	Common Shares without par value	Plavutska, Irina	5	2020-08-14	10		0	-50,000
Silver Elephant Mining Corp.	Options	Plavutska, Irina	5	2020-08-14	51	0.2	622,500	-50,000
Silver Elephant Mining Corp.	Options	Smith, David Hall	4	2020-08-03	00			
Silver Elephant Mining Corp.	Options	Smith, David Hall	4	2020-08-03	00		50,000	
Silver Elephant Mining Corp.	Options	Smith, David Hall	4	2020-08-17	50		170,000	120,000
SILVERCORP METALS INC.	Common Shares without par value	Katusa, Marina	4	2020-08-19	57	9.65	60,000	7,500
SILVERCORP METALS INC.	Rights Restricted Share Units	Katusa, Marina	4	2020-08-19	57	9.65	35,000	-7,500
SILVERCORP METALS INC.	Common Shares without par value	Kim, Yong-Jae	5	2020-08-17	57	9.65	13,125	6,562
SILVERCORP METALS INC.	Rights Restricted Share Units	Kim, Yong-Jae	5	2020-08-17	57	9.65	33,125	-6,562
SILVERCORP METALS INC.	Common Shares without par value	Kong, David TokPay	4	2020-08-19	57	9.65	129,000	7,500
SILVERCORP METALS INC.	Common Shares without par value	Kong, David TokPay	4	2020-08-20	10	10.28	125,000	-4,000
SILVERCORP METALS INC.	Rights Restricted Share Units	Kong, David TokPay	4	2020-08-19	57	9.65	35,000	-7,500
SILVERCORP METALS INC.	Common Shares without par value	Liu, Derek Zhihua	5	2020-08-19	57	9.65	35,000	15,000
SILVERCORP METALS INC.	Rights Restricted Share Units	Liu, Derek Zhihua	5	2020-08-17	57	9.65	80,000	-15,000
SILVERCORP METALS INC.	Common Shares without par value	Liu, Yikang	4	2020-08-17	57	9.65	87,500	7,500
SILVERCORP METALS INC.	Rights Restricted Share Units	Liu, Yikang	4	2020-08-17	57	9.65	35,000	-7,500
SILVERCORP METALS INC.	Common Shares without par value	Simpson, Stephen Paul	4	2020-08-19	57	9.65	861,984	7,500
SILVERCORP METALS INC.	Rights Restricted Share Units	Simpson, Stephen Paul	4	2020-08-19	57	9.65	35,000	-7,500
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	2020-08-18	10	0.28	1,725,500	1,000
SITKA GOLD CORP.	Common Shares	Coe, Corwin	4, 5	2020-08-18	10	0.26	1,731,500	6,000
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2020-08-18	10	0.275	2,564,000	2,500
SITKA GOLD CORP.	Common Shares	COE, RYAN	4	2020-08-19	45	0.21	261,000	100,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	2020-08-13	16	0.05	5,300,000	700,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	2020-07-30	10	0.065	6,324,500	-1,000,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	2020-08-13	16	0.05		700,000
Sixty North Gold Mining Ltd.	Common Shares	Campbell, Norman John	4, 5	2020-08-21	46		6,824,500	500,000
Sixty North Gold Mining Ltd.	Warrants	Campbell, Norman John	4, 5	2016-07-07	00			
Sixty North Gold Mining Ltd.	Warrants	Campbell, Norman John	4, 5	2020-08-13	16		700,000	700,000

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Sixty North Gold Mining Ltd.	Warrants	Campbell, Norman John	4, 5	2020-08-13	16			700,000
Sixty North Gold Mining Ltd.	Warrants	Campbell, Norman John	4, 5	2020-08-13	16			700,000
Sixty North Gold Mining Ltd.	Common Shares	Handford, Ronald	5	2020-08-21	46		1,600,000	500,000
Sixty North Gold Mining Ltd.	Common Shares	Herchak, Andriyko	4	2020-08-13	16	0.05	1,866,667	400,000
Sixty North Gold Mining Ltd.	Warrants	Herchak, Andriyko	4	2020-08-13	16		1,000,000	400,000
Sixty North Gold Mining Ltd.	Common Shares	Kirk, Gavin	4	2020-08-21	97		716,667	416,667
Sixty North Gold Mining Ltd.	Common Shares	Webb, David Ralph	5	2020-08-14	46	0.06	1,363,333	333,333
SKRR Exploration Inc.	Common Shares	Dahl, Sherman	4, 5	2020-08-20	11	0.35	805,045	-350,000
Sky Gold Corp.	Options	Fitzgerald, Catherine	4	2019-05-06	00			
Sky Gold Corp.	Options	Fitzgerald, Catherine	4	2019-08-08	50	0.06	250,000	250,000
Sky Gold Corp.	Options	Fitzgerald, Catherine	4	2020-01-13	50	0.085	400,000	150,000
Sky Gold Corp.	Options	Fitzgerald, Catherine	4	2020-07-09	50	0.13	550,000	150,000
SLANG Worldwide Inc.	Options	Donnelly, Christopher James	4	2020-07-08	00			
SLANG Worldwide Inc.	Options	Donnelly, Christopher James	4	2020-07-08	00		100,000	
SLANG Worldwide Inc.	Options	Donnelly, Christopher James	4	2020-08-14	50	0.15	851,060	751,060
SLANG Worldwide Inc.	Options	Driessen, Christopher Lee	4	2020-08-14	50	0.15	416,472	166,472
SLANG Worldwide Inc.	Options	Driessen, Christopher Lee	4	2020-08-14	50	0.15	750,000	333,528
SLANG Worldwide Inc.	Options	Ehler, Kelly Tyler	4, 5	2020-08-14	50	0.15	50,000	50,000
SLANG Worldwide Inc.	Options	Ehler, Kelly Tyler	4, 5	2020-08-14	50	0.15	75,000	25,000
SLANG Worldwide Inc.	Options	Ehler, Kelly Tyler	4, 5	2019-01-21	00			
SLANG Worldwide Inc.	Options	Ehler, Kelly Tyler	4, 5	2020-08-14	50	0.15	441,800	441,800
SLANG Worldwide Inc.	Options	Fraser, Matthew Steven	4	2020-08-14	50	0.15	751,060	751,060
SLANG Worldwide Inc.	Options	Rutherford, Mikel Patrick Alexander	5	2020-08-14	50	0.15	150,000	150,000
SLANG Worldwide Inc.	Options	Rutherford, Mikel Patrick Alexander	5	2020-08-14	50	0.15	250,000	100,000
SLANG Worldwide Inc.	Options	Rutherford, Mikel Patrick Alexander	5	2020-08-14	50	0.15	500,000	250,000
SLANG Worldwide Inc.	Options	Stein, Keith	4	2020-08-14	48 - Acquisition by inheritance or disposition by bequest	0.15	416,472	166,472
SLANG Worldwide Inc.	Options	Stein, Keith	4	2020-08-14	50	0.15	858,272	441,800
SLANG Worldwide Inc.	Options	Verdun, Robert	4	2020-08-14	50	0.15	851,060	751,060
Slave Lake Zinc Corp.	Common Shares	Rai, Jaskarn	3, 4, 5	2020-08-19	10	0.07	4,897,000	-3,000
Slave Lake Zinc Corp.	Common Shares	Rai, Jaskarn	3, 4, 5	2020-08-19	10	0.065	4,854,000	-43,000
Slave Lake Zinc Corp.	Common Shares	Rai, Jaskarn	3, 4, 5	2020-08-19	10	0.06	4,600,000	-254,000
Slave Lake Zinc Corp.	Common Shares	Wigham, Ritchie John	3, 4, 5	2020-08-19	10		4,650,000	-250,000
SNC-Lavalin Group Inc.	Common Shares	Cullens, Alan James	5	2020-08-20	57	24.52	5,456	4,456
SNC-Lavalin Group Inc.	Common Shares	Cullens, Alan James	5	2020-08-20	10	24.52	3,361	-2,095
SNC-Lavalin Group Inc.	Restricted Share Units/UnitOs d'actions inaccessibles	Cullens, Alan James	5	2020-08-20	57	24.52	25,807	-4,456
SNC-Lavalin Group Inc.	Debentures 2.689% Series 1 Debentures due November 24, 2020	Groupe SNC-Lavalin inc.	1	2003-06-01	00			

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SNC-Lavalin Group Inc.	Debentures 2.689% Series 1 Debentures due November 24, 2020	Groupe SNC-Lavalin inc.	1	2020-08-18	38	1006.3	\$40,000	\$40,000
SNC-Lavalin Group Inc.	Debentures 2.689% Series 1 Debentures due November 24, 2020	Groupe SNC-Lavalin inc.	1	2020-08-18	38		\$0	-\$40,000
SNC-Lavalin Group Inc.	Restricted Share Units/UnitOs d'actions inaccessibles	Wilkinson, Jonathan David	5	2020-08-15	59	24.86	33,314	-2,442
Softlab9 Technologies Inc.	Common Shares	lewis, derrick	4	2020-07-21	10	1.09	2,568,167	500
Softlab9 Technologies Inc.	Common Shares	lewis, derrick	4	2020-08-17	10	1.02	2,569,167	1,000
Solarvest BioEnergy Inc.	Common Shares	Greenham, Gerri Joseph	4	2020-08-13	10	0.095	9,641,500	1,000
Solarvest BioEnergy Inc.	Common Shares	Greenham, Gerri Joseph	4	2020-08-14	10	0.095	9,650,500	9,000
Sonoro Metals Corp.	Common Shares	Darch, John Michael	4	2020-08-12	16	0.22	1,351,000	228,000
Sonoro Metals Corp.	Common Shares	Darch, John Michael	4	2020-08-12	16	0.22	2,200,000	300,000
Sonoro Metals Corp.	Warrants	Darch, John Michael	4	2018-10-16	00			
Sonoro Metals Corp.	Warrants	Darch, John Michael	4	2020-08-12	16	0.3	228,000	228,000
Sonoro Metals Corp.	Warrants	Darch, John Michael	4	2020-08-12	16	0.3	300,000	300,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-03-05	10	0.14		-35,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-03-05	10	0.13		-20,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-03-05	10	0.13	755,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-03-05	10	0.1335	750,000	-5,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-03-10	10	0.135	705,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-02	10	0.14	680,500	-4,500
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-05	10	0.14	677,500	-3,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-08	10	0.14	676,500	-1,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-09	10	0.13		-1,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-09	10	0.14	670,000	-6,500
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-09	10	0.13	660,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-10	10	0.135		-9,500
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-10	10	0.1347	650,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-10	10	0.13		-500
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-11	10	0.13	640,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-11	10	0.125	638,000	-2,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-11	10	0.145		-5,500
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-12	10	0.13	628,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-12	10	0.13	618,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-24	10	0.145	617,500	-500
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-26	10	0.145	612,500	-5,000

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Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-06-30	10	0.135	606,500	-6,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-02	10	0.145		-2,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-02	10	0.145	604,500	-2,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-03	10	0.14	600,500	-4,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-03	10	0.15	588,000	-12,500
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-06	10	0.14	583,000	-5,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-06	10	0.135	578,000	-5,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-06	10	0.13	568,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-07	10	0.13	538,000	-30,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-07	10	0.135	533,000	-5,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-08	10	0.145	513,000	-20,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-08	10	0.14	503,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-09	10	0.15	498,000	-5,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-09	10	0.155	490,000	-8,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-07-22	10	0.29	482,000	-8,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-08-04	10	0.255	470,000	-12,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-08-05	10	0.28	460,000	-10,000
Sonoro Metals Corp.	Common Shares	Maedel, Neil Herman Junior	8, 4	2020-08-12	16	0.22	641,818	181,818
Sonoro Metals Corp.	Warrants	Maedel, Neil Herman Junior	8, 4	2020-08-12	55	0.27	0	-100,000
Sonoro Metals Corp.	Warrants	Maedel, Neil Herman Junior	8, 4	2020-08-12	16	0.3	181,818	181,818
Sonoro Metals Corp.	Warrants	Regan, Katharine Elizabeth	8	2020-08-01	55	0.27	25,000	-28,000
Southern Arc Minerals Inc.	Common Shares	Carlile, John Charles	4	2020-08-20	51	0.32	66,440	60,000
Southern Arc Minerals Inc.	Common Shares	Carlile, John Charles	4	2020-08-20	51	0.35	106,440	40,000
Southern Arc Minerals Inc.	Options	Carlile, John Charles	4	2020-08-20	51	0.32	40,000	-60,000
Southern Arc Minerals Inc.	Options	Carlile, John Charles	4	2020-08-20	51	0.35	0	-40,000
SponsorsOne Inc.	Common Shares	Bartholomew, Gary	4	2020-08-18	10	0.01	2,021,979	-990,000
Sprott Inc.	Common Shares	Hibbert, Kevin Lloyd	7, 5	2020-08-18	10	53.98	50,000	-10,000
SQI Diagnostics Inc.	Options	Chioini, Robert Louis	4, 5	2020-08-17	00			
SQI Diagnostics Inc.	Options	Chioini, Robert Louis	4, 5	2020-08-17	50		29,835,062	29,835,062
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-05-04	00		10,000	
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-06-26	10	100000		100,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-06-26	10	100000		100,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-06-26	10	0.2	110,000	100,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-07-08	46	800000		800,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-07-08	46	800000		800,000
Standard Uranium Ltd.	Common Shares	Bey, Jonathan Ian	4	2020-07-08	46	0.15	1,800,001	800,000
Stantec Inc.	Common Shares	Jang, Theresa	7, 5	2020-08-21	10	42.05	11,548	1,180
Stantec Inc.	Common Shares	Schefer, Catherine Margaret	7, 5	2020-08-19	10	24.172	1,824	823

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Stantec Inc.	Common Shares	Schefer, Catherine Margaret	7, 5	2020-08-19	10	24.162	7,548	1,324
Stantec Inc.	Common Shares	Schefer, Catherine Margaret	7, 5	2020-08-19	10	24.172	8,371	823
Star Diamond Corporation	Common Shares	Bay, Harvey James	4, 5	2020-08-21	51	0.18	441,900	66,900
Star Diamond Corporation	Options	Bay, Harvey James	4, 5	2020-08-18	50	0.225	721,200	151,500
Star Diamond Corporation	Options	Bay, Harvey James	4, 5	2020-08-21	51	0.18	654,300	-66,900
Star Diamond Corporation	Rights Deferred Share Units	Bay, Harvey James	4, 5	2020-08-18	56	0.25	335,350	60,000
Star Diamond Corporation	Common Shares	MacNeill, Kenneth Earl	4, 5	2020-08-19	51	0.21	11,416,272	1,500,000
Star Diamond Corporation	Options	MacNeill, Kenneth Earl	4, 5	2020-08-18	50	0.225	7,540,000	1,515,000
Star Diamond Corporation	Options	MacNeill, Kenneth Earl	4, 5	2020-08-19	51	0.21	6,040,000	-1,500,000
Star Diamond Corporation	Rights Restricted Share Units	MacNeill, Kenneth Earl	4, 5	2020-08-18	56	0.25	1,700,000	600,000
Star Diamond Corporation	Options	Mason, Ewan	4	2020-08-18	50	0.225	632,300	151,500
Star Diamond Corporation	Rights Deferred Share Units	Mason, Ewan	4	2020-08-18	56	0.25	141,250	60,000
Star Diamond Corporation	Common Shares	Read, George Henry	5	2020-08-19	51	0.21	2,632,500	600,000
Star Diamond Corporation	Options	Read, George Henry	5	2020-08-18	50	0.225	4,535,000	1,010,000
Star Diamond Corporation	Options	Read, George Henry	5	2020-08-19	51	0.21	3,935,000	-600,000
Star Diamond Corporation	Rights Restricted Share Units	Read, George Henry	5	2020-08-18	56	0.25	900,000	400,000
Star Diamond Corporation	Options	Riley, Lisa K	4	2020-08-18	50	0.225	351,500	151,500
Star Diamond Corporation	Rights Deferred Share Units	Riley, Lisa K	4	2020-02-03	00			
Star Diamond Corporation	Rights Deferred Share Units	Riley, Lisa K	4	2020-08-18	56	0.25	60,000	60,000
Star Diamond Corporation	Common Shares	Shyluk, Greg	5	2020-08-19	51	0.21	1,851,932	400,000
Star Diamond Corporation	Options	Shyluk, Greg	5	2020-08-18	50	0.225	3,164,000	689,000
Star Diamond Corporation	Options	Shyluk, Greg	5	2020-08-19	51	0.21	2,764,000	-400,000
Star Diamond Corporation	Rights Restricted Share Units	Shyluk, Greg	5	2020-08-18	56	0.25	623,000	273,000
Starcore International Mines Ltd.	Common Shares	2176423 Ontario Ltd.	3	2020-08-13	10	0.2038	6,616,693	-169,500
Starcore International Mines Ltd.	Common Shares	Sprott, Eric S.	3	2020-08-13	10	0.2038	6,616,693	-169,500
Stingray Group Inc.	Subordinate Voting Shares	Blondin, Claudine	4	2020-08-18	10	5.6489	75,200	47,000
Stingray Group Inc.	Deferred Share Units (DSU)	Boyko, Eric	3, 4, 5	2020-08-14	56	5.2893	206,516	1,922
Strata-X Energy Ltd.	Common Shares	Hettich, David	5	2020-08-19	10		409,238	-150,000
Strategic Resources Inc.	Common Shares	Hicks, Scott Victor Andrew	4, 5	2019-06-10	00			
Strategic Resources Inc.	Common Shares	Hicks, Scott Victor Andrew	4, 5	2020-08-18	54	0.23	434,780	434,780
Strategic Resources Inc.	Warrants	Hicks, Scott Victor Andrew	4, 5	2020-08-18	54	0.23	0	-434,780
Stuhini Exploration Ltd.	Common Shares	2176423 Ontario Ltd.	3	2020-08-14	00		1,000,000	
Stuhini Exploration Ltd.	Common Shares	2176423 Ontario Ltd.	3	2020-08-14	16	0.4	2,000,000	1,000,000
Stuhini Exploration Ltd.	Common Shares	Nohdomi, Kazuki	4	2020-08-14	16	0.55	412,000	182,000
Stuhini Exploration Ltd.	Common Shares	Sprott, Eric S.	3	2020-08-14	00		300,000	

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Stuhini Exploration Ltd.	Common Shares	Sprott, Eric S.	3	2020-08-14	00		1,000,000	
Stuhini Exploration Ltd.	Common Shares	Sprott, Eric S.	3	2020-08-14	16	0.4	2,000,000	1,000,000
SugarBud Craft Growers Corp. (formerly Relentless Resources Ltd.)	Options	Comeau, Janice Mary	4	2019-12-27	00		2,000,000	
Summit Industrial Income REIT	Trust Units	Morassutti, Lawrence	4	2020-08-14	30	11.56	112,983	438
Sun Life Financial Inc.	Units Sun Shares	Money, Laura Ann	5	2020-06-29	00			
Sun Life Financial Inc.	Units Sun Shares	Money, Laura Ann	5	2020-08-18	30	56.54	12,240	12,240
SunOpta Inc.	Common Shares	Ennen, Joseph	4	2020-08-13	57		652,616	173,553
SunOpta Inc.	Performance Share Units	Ennen, Joseph	4	2020-08-13	57		1,808,021	-297,619
SunOpta Inc.	Common Shares	Fisher, Rebecca	4	2020-08-16	57	6.78	38,645	19,389
SunOpta Inc.	Rights RSU	Fisher, Rebecca	4	2020-08-16	57		19,547	-19,389
SunOpta Inc.	Common Shares	Huckins, Scott	5	2020-08-13	57		194,681	40,181
SunOpta Inc.	Performance Share Units	Huckins, Scott	5	2020-08-13	57		439,687	-57,773
SunOpta Inc.	Common Shares	Keating, Leslie Starr	4	2020-08-16	57	6.78	39,481	19,389
SunOpta Inc.	Rights RSU	Keating, Leslie Starr	4	2020-08-16	57		19,547	-19,389
SunOpta Inc.	Options	Versteegh, Gerardus Joseph Maria	5	2020-07-10	50			26,402
SunOpta Inc.	Options	Versteegh, Gerardus Joseph Maria	5	2020-07-10	50		431,254	26,484
SunOpta Inc.	Performance Share Units	Versteegh, Gerardus Joseph Maria	5	2020-07-10	56			28,431
SunOpta Inc.	Performance Share Units	Versteegh, Gerardus Joseph Maria	5	2020-07-10	56		28,519	28,519
SunOpta Inc.	Rights RSU	Versteegh, Gerardus Joseph Maria	5	2020-07-10	56			14,216
SunOpta Inc.	Rights RSU	Versteegh, Gerardus Joseph Maria	5	2020-07-10	56		14,260	14,260
Supremex Inc.	Common Shares	Johnston, Robert Bruce	4	2020-08-17	10	1.24	100,000	30,000
Supremex Inc.	Common Shares	The Article 6 Marital Trust created under the First Amended and Restated Jerry Zucker Revocable Trust dated 4-2-07	3	2020-08-17	10	1.247	5,617,385	130,000
Supremex Inc.	Common Shares	The Article 6 Marital Trust created under the First Amended and Restated Jerry Zucker Revocable Trust dated 4-2-07	3	2020-08-18	10	1.26	5,667,385	50,000
Surge Energy Inc.	Common Shares	Bennett, Michael James	5	2020-08-17	57	0.325	35,522	15,289
Surge Energy Inc.	Common Shares	Bennett, Michael James	5	2020-08-17	35	0.325	37,054	1,532
Surge Energy Inc.	Common Shares	Bennett, Michael James	5	2020-08-17	97	0.3217	28,236	-8,818
Surge Energy Inc.	Rights Restricted Share Awards	Bennett, Michael James	5	2020-08-17	57	0.325	33,330	-15,289
Surge Energy Inc.	Rights Restricted Share Awards	Bennett, Michael James	5	2020-08-17	56		82,594	49,264
Surge Energy Inc.	Common Shares	Burnyeat, Marion Louise	4	2020-08-17	57	0.325	87,072	30,577
Surge Energy Inc.	Common Shares	Burnyeat, Marion Louise	4	2020-08-17	35	0.325	90,137	3,065
Surge Energy Inc.	Common Shares	Burnyeat, Marion Louise	4	2020-08-17	97	0.3217	72,501	-17,636
Surge Energy Inc.	Rights Restricted Share Awards	Burnyeat, Marion Louise	4	2020-08-17	57	0.325	50,739	-30,577
Surge Energy Inc.	Rights Restricted Share Awards	Burnyeat, Marion Louise	4	2020-08-17	56		149,268	98,529

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Surge Energy Inc.	Common Shares	Bye, Murray	5	2020-08-17	57	0.325	1,208,975	288,732
Surge Energy Inc.	Common Shares	Bye, Murray	5	2020-08-17	35	0.325	1,267,656	58,681
Surge Energy Inc.	Common Shares	Bye, Murray	5	2020-08-17	97	0.3217	1,103,487	-164,169
Surge Energy Inc.	Common Shares	Bye, Murray	5	2020-08-17	57	0.325	1,215,988	112,501
Surge Energy Inc.	Common Shares	Bye, Murray	5	2020-08-17	35	0.325	1,230,729	14,741
Surge Energy Inc.	Common Shares	Bye, Murray	5	2020-08-17	97	0.3217	1,170,600	-60,129
Surge Energy Inc.	Rights Performance Share Awards	Bye, Murray	5	2020-08-17	57	0.325	723,790	-288,732
Surge Energy Inc.	Rights Performance Share Awards	Bye, Murray	5	2020-08-17	56		1,561,290	837,500
Surge Energy Inc.	Rights Restricted Share Awards	Bye, Murray	5	2020-08-17	57	0.325	131,328	-112,501
Surge Energy Inc.	Rights Restricted Share Awards	Bye, Murray	5	2020-08-17	56		410,494	279,166
Surge Energy Inc.	Common Shares	Christie, Derek Wayne	5	2020-08-17	57	0.325	403,562	55,667
Surge Energy Inc.	Common Shares	Christie, Derek Wayne	5	2020-08-17	35	0.325	405,905	2,343
Surge Energy Inc.	Rights Performance Share Awards	Christie, Derek Wayne	5	2019-11-18	00		591,176	
Surge Energy Inc.	Rights Restricted Share Awards	Christie, Derek Wayne	5	2019-11-18	00		55,667	
Surge Energy Inc.	Rights Restricted Share Awards	Christie, Derek Wayne	5	2020-08-17	35			2,343
Surge Energy Inc.	Rights Restricted Share Awards	Christie, Derek Wayne	5	2020-08-17	35			2,343
Surge Energy Inc.	Rights Restricted Share Awards	Christie, Derek Wayne	5	2020-08-17	56		252,725	197,058
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	57	0.325		614,437
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	57	0.325		614,437
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	35	0.325		124,877
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	35	0.325		124,877
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	57	0.325	6,023,261	614,437
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	35	0.325	6,148,138	124,877
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	57	0.325	6,370,867	222,729
Surge Energy Inc.	Common Shares	Colborne, Paul	4	2020-08-17	35	0.325	6,399,922	29,055
Surge Energy Inc.	Rights Performance Share Awards	Colborne, Paul	4	2020-08-17	57	0.325		-614,437
Surge Energy Inc.	Rights Performance Share Awards	Colborne, Paul	4	2020-08-17	57	0.325		-614,437
Surge Energy Inc.	Rights Performance Share Awards	Colborne, Paul	4	2020-08-17	57	0.325	1,458,572	-614,437
Surge Energy Inc.	Rights Performance Share Awards	Colborne, Paul	4	2020-08-17	56		3,010,410	1,551,838
Surge Energy Inc.	Rights Restricted Share Awards	Colborne, Paul	4	2020-08-17	57	0.325		222,729
Surge Energy Inc.	Rights Restricted Share Awards	Colborne, Paul	4	2020-08-17	57	0.325		222,729
Surge Energy Inc.	Rights Restricted Share Awards	Colborne, Paul	4	2020-08-17	57	0.325	332,771	-222,729
Surge Energy Inc.	Rights Restricted Share Awards	Colborne, Paul	4	2020-08-17	56		850,050	517,279
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2020-08-17	57	0.325	107,269	44,601
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2020-08-17	35	0.325	116,333	9,064
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2020-08-17	97	0.3217	62,668	-53,665
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2020-08-17	57	0.325	124,969	62,301
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2020-08-17	35	0.325	132,442	7,473
Surge Energy Inc.	Common Shares	DUCS, JARED ANDREW RENTON	5	2020-08-17	97	0.3217	62,668	-69,774
Surge Energy Inc.	Rights Performance Share Awards	DUCS, JARED ANDREW RENTON	5	2020-08-17	57	0.325	426,915	-44,601

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Surge Energy Inc.	Rights Performance Share Awards	DUCS, JARED ANDREW RENTON	5	2020-08-17	56		1,162,209	735,294
Surge Energy Inc.	Rights Restricted Share Awards	DUCS, JARED ANDREW RENTON	5	2020-08-17	57	0.325	82,717	-62,301
Surge Energy Inc.	Rights Restricted Share Awards	DUCS, JARED ANDREW RENTON	5	2020-08-17	56		327,815	245,098
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2020-08-17	57	0.325	1,328,256	274,648
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2020-08-17	35	0.325	1,384,075	55,819
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2020-08-17	97	0.3217	1,227,914	-156,161
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2020-08-17	57	0.325	1,339,970	112,056
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2020-08-17	35	0.325	1,354,345	14,375
Surge Energy Inc.	Common Shares	Elekes, Margaret Ann	5	2020-08-17	97	0.3217	1,294,600	-59,745
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2020-08-17	57	0.325	810,494	-274,648
Surge Energy Inc.	Rights Performance Share Awards	Elekes, Margaret Ann	5	2020-08-17	56		1,598,729	788,235
Surge Energy Inc.	Rights Restricted Share Awards	Elekes, Margaret Ann	5	2020-08-17	57	0.325	58,680	-112,056
Surge Energy Inc.	Rights Restricted Share Awards	Elekes, Margaret Ann	5	2020-08-17	56		321,425	262,745
Surge Energy Inc.	Common Shares	Gilbert, Daryl Harvey	4	2020-08-17	57	0.325	151,141	42,314
Surge Energy Inc.	Common Shares	Gilbert, Daryl Harvey	4	2020-08-17	35	0.325	156,591	5,450
Surge Energy Inc.	Common Shares	Gilbert, Daryl Harvey	4	2020-08-17	97	0.3217	134,021	-22,570
Surge Energy Inc.	Rights Restricted Share Awards	Gilbert, Daryl Harvey	4	2020-08-17	57	0.325	50,740	-42,314
Surge Energy Inc.	Rights Restricted Share Awards	Gilbert, Daryl Harvey	4	2020-08-17	56		149,269	98,529
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217		-1,696
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217	29,144	-772
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	56			43,254
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	56		73,975	44,831
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	56			55,275
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	56		89,474	53,698
Surge Energy Inc.	Rights Restricted Share Awards	Gramatke, Michelle	4	2020-08-17	59	0.3217	88,550	-924
Surge Energy Inc.	Common Shares	Leach, Robert Allen	4	2020-08-17	57	0.325	1,031,163	42,314
Surge Energy Inc.	Common Shares	Leach, Robert Allen	4	2020-08-17	35	0.325	1,036,613	5,450
Surge Energy Inc.	Rights Restricted Share Awards	Leach, Robert Allen	4	2020-08-17	57	0.325	50,740	-42,314
Surge Energy Inc.	Rights Restricted Share Awards	Leach, Robert Allen	4	2020-08-17	56		149,269	98,529
Surge Energy Inc.	Common Shares	Maher, Allison Michelle	4	2020-08-17	57	0.325	37,072	30,577
Surge Energy Inc.	Common Shares	Maher, Allison Michelle	4	2020-08-17	35	0.325	40,137	3,065
Surge Energy Inc.	Rights Restricted Share Awards	Maher, Allison Michelle	4	2020-08-17	57	0.325	50,739	-30,577
Surge Energy Inc.	Rights Restricted Share Awards	Maher, Allison Michelle	4	2020-08-17	56		149,268	98,529
Surge Energy Inc.	Common Shares	Monden, Rod J	5	2020-08-17	57	0.325	468,789	49,296
Surge Energy Inc.	Common Shares	Monden, Rod J	5	2020-08-17	35	0.325	478,807	10,018
Surge Energy Inc.	Common Shares	Monden, Rod J	5	2020-08-17	97	0.3217	419,493	-59,314
Surge Energy Inc.	Rights Performance Share Awards	Monden, Rod J	5	2020-08-17	57	0.325	220,161	-49,296
Surge Energy Inc.	Rights Performance Share Awards	Monden, Rod J	5	2020-08-17	56		455,455	235,294
Surge Energy Inc.	Rights Restricted Share Awards	Monden, Rod J	5	2020-08-17	56		159,917	78,431

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Surge Energy Inc.	Common Shares	O'Neil, Peter Dan	5	2020-08-17	57	0.325	123,440	42,314
Surge Energy Inc.	Common Shares	O'Neil, Peter Dan	5	2020-08-17	35	0.325	128,890	5,450
Surge Energy Inc.	Common Shares	O'Neil, Peter Dan	5	2020-08-17	97	0.3217	103,849	-25,041
Surge Energy Inc.	Rights Restricted Share Awards	O'Neil, Peter Dan	5	2020-08-17	57	0.325	50,740	-42,314
Surge Energy Inc.	Rights Restricted Share Awards	O'Neil, Peter Dan	5	2020-08-17	56		149,269	98,529
Surge Energy Inc.	Common Shares	Pasieka, James Murray	4	2020-08-17	99		936,314	12,480
Surge Energy Inc.	Common Shares	Pasieka, James Murray	4	2020-08-17	57	0.325	992,733	56,419
Surge Energy Inc.	Common Shares	Pasieka, James Murray	4	2020-08-17	35	0.325	1,000,000	7,267
Surge Energy Inc.	Rights Restricted Share Awards	Pasieka, James Murray	4	2020-08-17	57	0.0325	67,653	-56,419
Surge Energy Inc.	Rights Restricted Share Awards	Pasieka, James Murray	4	2020-08-17	56		199,025	131,372
Surge Energy Inc.	Common Shares	Smith, Murray Douglas	4	2020-08-17	57	0.325	179,560	42,314
Surge Energy Inc.	Common Shares	Smith, Murray Douglas	4	2020-08-17	35	0.325	185,010	5,450
Surge Energy Inc.	Common Shares	Smith, Murray Douglas	4	2020-08-17	97	0.3217	162,438	-22,572
Surge Energy Inc.	Rights Restricted Share Awards	Smith, Murray Douglas	4	2020-08-17	57	0.325	50,740	-42,314
Surge Energy Inc.	Rights Restricted Share Awards	Smith, Murray Douglas	4	2020-08-17	56		149,269	98,529
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-08-14	38	10.258	431,000	1,000
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-08-17	38	10.225	431,600	600
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-08-18	38	10.303	433,400	1,800
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-08-19	38	10.28	434,000	600
Sustainable Infrastructure Dividend Fund	Trust Units	Sustainable Infrastructure Dividend Fund	1	2020-08-20	38	10.21	434,900	900
Sustainable Innovation & Health Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-08-14	00			
Sustainable Innovation & Health Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-08-14	15	10	8,500	8,500
Sustainable Innovation & Health Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-08-14	00			
Sustainable Innovation & Health Dividend Fund	Trust Units	Brasseur, Jeremy	6	2020-08-14	15	10	3,000	3,000
Sustainable Innovation & Health Dividend Fund	Trust Units	Orrico, Dean	6	2020-08-14	00			
Sustainable Innovation & Health Dividend Fund	Trust Units	Orrico, Dean	6	2020-08-14	15	10	10,000	10,000
Swiss Water Decaffeinated Coffee Inc.	Common Shares	Tringali, Donald John	4	2020-08-18	10	2.3721	3,800	500
Swiss Water Decaffeinated Coffee Inc.	Common Shares	Tringali, Donald John	4	2020-08-18	10	2.4	5,000	1,200
Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2020-08-20	10	0.395	3,947,473	25,000

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Talisker Resources Ltd.	Common Shares	Harbort, Terence	4, 5	2020-08-20	10	0.4	3,972,473	25,000
Talisker Resources Ltd.	Common Shares	McPhie, Michael	5	2020-08-13	10	0.46	182,367	43,478
Talisker Resources Ltd.	Common Shares	Tinajero, Andres	4, 5	2020-08-20	10	0.4	1,789,224	100,000
Talisker Resources Ltd.	Common Shares	Zaritsky, Blair David	4	2020-08-19	10	0.39		65,000
Talisker Resources Ltd.	Common Shares	Zaritsky, Blair David	4	2020-08-19	10	0.39	148,960	66,500
Talisker Resources Ltd.	Common Shares	Zaritsky, Blair David	4	2020-08-20	10	0.39	171,460	22,500
Tamarack Valley Energy Ltd.	Common Shares	Boyce, Jeff	4	2020-08-17	10	1.0592	881,748	150,000
Tamarack Valley Energy Ltd.	Common Shares	Leach, John Glenn	4	2020-08-17	10	1.05	55,036	25,000
Tamarack Valley Energy Ltd.	Common Shares	Leach, John Glenn	4	2020-08-18	57	1.04	72,451	17,415
Tamarack Valley Energy Ltd.	Rights Restricted Stock Units	Leach, John Glenn	4	2020-08-18	57		167,833	17,415
Tarku Resources Ltd. (formerly ITUNA Capital Corporation)	Common Shares	Lapointe, Bernard	4	2020-08-14	11	0.065	959,773	769,230
Tarku Resources Ltd. (formerly ITUNA Capital Corporation)	Warrants	Lapointe, Bernard	4	2020-06-05	55		0	-462,500
Tarku Resources Ltd. (formerly ITUNA Capital Corporation)	Warrants	Lapointe, Bernard	4	2020-08-14	53		769,230	769,230
Tartisan Nickel Corp.	Common Shares	Appleby, D. Mark	4, 5	2020-08-14	10	0.11	12,837,250	261,000
Taseko Mines Limited	Common Shares	McManus, John	5	2020-08-19	51	0.38	359,880	20,000
Taseko Mines Limited	Common Shares	McManus, John	5	2020-08-19	10	1.1	339,880	-20,000
Taseko Mines Limited	Common Shares	McManus, John	5	2020-08-20	51	0.38	371,880	32,000
Taseko Mines Limited	Common Shares	McManus, John	5	2020-08-20	10	1.15	339,880	-32,000
Taseko Mines Limited	Options	McManus, John	5	2020-08-19	51	0.38	1,062,550	-20,000
Taseko Mines Limited	Options	McManus, John	5	2020-08-20	51	0.38	1,030,550	-32,000
Taseko Mines Limited	Common Shares	Mitchell, Peter	4	2020-08-19	10	0.823	40,000	10,000
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-04	10	63.237		-1,200
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-04	10	63.237	2,281	-1,200
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	30	64.13	2,435	154
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	30	66.13	2,564	129
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	30	65.14		-1,217
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	10	65.14		-1,217
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	10	65.14		-1,217
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	30	65.13		-1,347
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	10	65.13		-1,347
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	10	65.13		-1,347
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	10	65.14	1,347	-1,217
TC Energy Corporation	Common Shares	Brett, Sean M.	7	2020-08-19	10	65.13	0	-1,347
TC Energy Corporation	Executive Share Units	Humes, Christopher	7	2020-08-17	00		3,397	
TC Energy Corporation	Common Shares	Jones, Robert E.	7	2006-06-12	00			
TC Energy Corporation	Common Shares	Jones, Robert E.	7	2020-08-14	10	65.54	125	125
TC Energy Corporation	Common Shares	Jones, Robert E.	7	2020-08-18	10	65.54		125
TC Energy Corporation	Common Shares	Moran, Charles	7	2020-08-20	10	49.36	7,603	-5,000
TC Energy Corporation	Common Shares	Pfeiffer, David	7	2020-08-13	10	64.962	0	-1,000
TC Energy Corporation	Executive Share Units	Sweeney, Neil	7	2020-08-10	00		2,552	
Teras Resources Inc.	Common Shares	Carrabba, Joe	4, 5	2020-08-17	11	0.05	3,148,700	648,700
Teras Resources Inc.	Warrants	Carrabba, Joe	4, 5	2020-08-17	11		2,648,700	648,700
Tesoro Minerals Corp.	Warrants	Elliott, David Brian	3	2020-08-06	16	0.1		200,000
Tesoro Minerals Corp.	Warrants	Elliott, David Brian	3	2020-08-06	16	0.1	200,000	200,000

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Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-08-14	10	0.6	25,660,708	16,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-08-17	10	0.59	25,672,708	12,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-08-18	10	0.553	25,686,708	14,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-08-19	10	0.5	25,701,708	15,000
Tethys Petroleum Limited	Common Shares	Wells, William Paul Wells	3, 4	2020-08-20	10	0.5	25,712,708	11,000
TGS Esports Inc.	Options	Khouri, Spiro	4, 5	2020-08-19	50	0.15	1,600,000	1,600,000
TGS Esports Inc.	Options	Mlait, Ravinder	4	2020-08-19	50	0.15	750,000	600,000
TGS Esports Inc.	Options	Wright, Jeremy Christopher	4	2019-11-19	00			
TGS Esports Inc.	Options	Wright, Jeremy Christopher	4	2020-08-19	50	0.15	300,000	300,000
The North West Company Inc.	Deferred Share Units	Bulbuck, W. Brock	4	2020-07-31	56	29.8	11,977	2,378
The North West Company Inc.	Deferred Share Units	Chopra, Deepak	4	2020-07-31	56	29.8	4,882	1,693
The North West Company Inc.	Deferred Share Units	Coleman, Frank Joseph	4	2020-07-31	56	29.8	41,585	2,305
The North West Company Inc.	Deferred Share Units	Evans, Frances Wendy	4	2020-07-31	56	29.8	41,862	1,882
The North West Company Inc.	Deferred Share Units	Glendinning, Stewart	4	2020-07-31	56	29.8	26,166	2,431
The North West Company Inc.	Deferred Share Units	Kennedy, Robert	4	2020-07-31	56	29.8	51,749	267
The North West Company Inc.	Deferred Share Units	King, Anna Lisa	4	2020-07-31	56	29.8	10,219	1,604
The North West Company Inc.	Deferred Share Units	Konkle, Violet	4	2020-07-31	56	29.8	21,916	2,010
The North West Company Inc.	Deferred Share Units	Nepinak, Jennefer Joann	4	2020-07-31	56	29.8	6,852	2,322
The North West Company Inc.	Deferred Share Units	Riley, Sanford	4	2020-07-31	56	29.8	105,048	4,742
The North West Company Inc.	Deferred Share Units	Stefanson, Eric	4	2020-07-31	56	29.8	21,423	1,700
The North West Company Inc.	Deferred Share Units	Tootoo, Victor	4	2020-07-31	56	29.8	10,428	1,656
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5246	558,050	2,000
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5322	558,850	800
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5323	561,950	3,100
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5398	562,050	100
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5399	562,250	200
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.54	562,950	700
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5403	563,050	100
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5404	564,950	1,900
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5407	567,750	2,800
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.548	570,550	2,800
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5549	572,450	1,900
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5551	575,450	3,000
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5556	581,650	6,200

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The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5569	582,850	1,200
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.557	590,550	7,700
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5571	596,850	6,300
The Westaim Corporation	Common Shares	Hays, Jim Charles	7	2020-08-18	10	1.5575	600,650	3,800
Therma Bright Inc.	Common Shares	Fia, Roberto	4, 5	2020-08-14	46	0.08	15,573,744	700,000
Therma Bright Inc.	Common Shares	Heng, Joseph, Ching-Hiang	4	2020-08-21	10	0.185	300,000	-100,000
ThreeD Capital Inc.	Common Shares	Inwentash, Raquel Aspen	3	2020-08-13	10	0.22	2,368,500	25,000
ThreeD Capital Inc.	Common Shares	Inwentash, Raquel Aspen	3	2020-08-14	10	0.23	2,408,500	40,000
ThreeD Capital Inc.	Common Shares	Inwentash, Raquel Aspen	3	2020-08-17	10	0.25	2,471,000	62,500
ThreeD Capital Inc.	Common Shares	Inwentash, Raquel Aspen	3	2020-08-18	10	0.2638	2,561,000	90,000
Timbercreek Financial Corp.	Deferred Share Units	Altman, Zelik	4	2020-08-14	56	8.42	15,766	341
Timbercreek Financial Corp.	Deferred Share Units	Scott, Steven Robert	4	2020-08-14	56	8.42	26,636	1,811
Timbercreek Financial Corp.	Deferred Share Units	Shyba, William Glenn	4	2020-08-14	56	8.42	29,270	2,108
Timbercreek Financial Corp.	Deferred Share Units	Spackman, Pamela Jean	4	2020-08-14	56	8.42	9,453	1,663
Timbercreek Financial Corp.	Common Shares	Watchorn, Derek John	4	2020-08-21	10	8.656	26,519	7,000
Timbercreek Financial Corp.	Deferred Share Units	Watchorn, Derek John	4	2020-08-14	56	8.42	27,775	1,900
TMX Group Limited	Common Shares	Anastasopoulos, Elias	7	2020-08-17	00		748	
TMX Group Limited	Options	Anastasopoulos, Elias	7	2020-08-17	00		12,170	
TMX Group Limited	Rights Performance Share Units	Anastasopoulos, Elias	7	2020-08-17	00		1,868	
TMX Group Limited	Rights Restricted Share Units	Anastasopoulos, Elias	7	2020-08-17	00		1,551	
TMX Group Limited	Common Shares	Di Liso, Frank	5	2020-08-17	00		27	
TMX Group Limited	Options	Di Liso, Frank	5	2020-08-17	00		11,970	
TMX Group Limited	Rights Deferred Share Units	Di Liso, Frank	5	2020-08-17	00		1,356	
TMX Group Limited	Rights Performance Share Units	Di Liso, Frank	5	2020-08-17	00		1,225	
TMX Group Limited	Rights Restricted Share Units	Di Liso, Frank	5	2020-08-17	00		1,293	
Toromont Industries Ltd.	Common Shares	Cuddy, Mike	5	2020-08-14	10	73.6	72,799	-3,800
Toromont Industries Ltd.	Common Shares	Cuddy, Mike	5	2020-08-17	10	74	71,099	-1,700
Toromont Industries Ltd.	Common Shares	Cuddy, Mike	5	2020-08-18	10	73	62,099	-9,000
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	51	26.52	193,505	15,000
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.86	193,405	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.85	193,305	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.83	193,105	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.77	193,005	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.76	192,805	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.74	192,505	-300

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Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.72	192,405	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.7	192,205	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.69	192,005	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.68	191,805	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.65	191,705	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.62	191,605	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.6	191,505	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.59	191,405	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.56	191,305	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.54	191,205	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.51	191,005	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.48	190,705	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.45	190,605	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.44	190,505	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.43	190,305	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.38	190,205	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.37	190,005	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.36	189,905	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.35	189,505	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.34	189,305	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.28	189,205	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.27	189,105	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.25	188,905	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.24	188,805	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.22	188,105	-700
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.21	187,705	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.2	187,005	-700
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.19	185,305	-1,700
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.18	185,105	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.17	184,305	-800
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.16	184,105	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.14	183,805	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.1	183,505	-300

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Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.09	182,905	-600
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.08	182,405	-500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.07	182,105	-300
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.06	181,905	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.04	181,405	-500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.03	181,005	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.02	180,805	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73.01	180,605	-200
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	73	180,505	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	72.94	180,105	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	72.92	179,705	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	72.88	179,205	-500
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	72.86	179,105	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	72.82	178,705	-400
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	72.59	178,605	-100
Toromont Industries Ltd.	Common Shares	Medhurst, Scott	4, 5	2020-08-19	10	72.41	178,505	-100
Toromont Industries Ltd.	Options	Medhurst, Scott	4, 5	2020-08-19	51	26.52	638,000	-15,000
Total Energy Services Inc.	Common Shares	Chow, George K.	4	2020-08-18	10	2.28	13,710	3,100
Total Energy Services Inc.	Common Shares	Halyk, Daniel Kim	4, 5	2020-08-21	10	2.25	1,460,000	10,000
Total Energy Services Inc.	Common Shares	Wiswell, Andrew B.	4	2020-08-20	10	2.32	51,523	2,580
TrackX Holdings Inc.	Options	Devine, Darren	4	2020-08-06	00		400,000	
Treasury Metals Inc.	Common Shares	Ferron, Greg	5	2020-08-11	37		218,466	-436,934
Treasury Metals Inc.	Options	Ferron, Greg	5	2020-08-11	37		485,000	-970,000
Treasury Metals Inc.	Common Shares	Fisher, William J.	4	2020-08-11	37		174,734	-349,469
Treasury Metals Inc.	Common Shares	Fisher, William J.	4	2020-08-11	37		3,333	-6,667
Treasury Metals Inc.	Options	Fisher, William J.	4	2020-08-11	37		216,666	-433,334
Treasury Metals Inc.	Common Shares	Gibson, Dennis George	5	2020-08-11	37		36,986	-73,971
Treasury Metals Inc.	Options	Gibson, Dennis George	5	2020-08-11	37		275,000	-550,000
Treasury Metals Inc.	Common Shares	Henderson, Marc Charles	4	2020-08-11	37		2,040,049	-4,080,099
Treasury Metals Inc.	Options	Henderson, Marc Charles	4	2020-08-11	37		266,666	-533,334
Treasury Metals Inc.	Common Shares	Vereecke, Christophe	4	2020-08-11	37		300,000	-600,000
Treasury Metals Inc.	Options	Vereecke, Christophe	4	2020-08-11	37		216,666	-433,334
Treasury Metals Inc.	Common Shares	Wood, Flora Emily MacKay	4	2020-08-11	37		107,471	-214,942
Treasury Metals Inc.	Options	Wood, Flora Emily MacKay	4	2020-08-11	37		216,666	-433,334
Tree Island Steel Ltd.	Common Shares	Stachowiak, Remy Gilbert Theophil	5	2020-08-18	10	2.12	26,300	6,000
Trican Well Service Ltd.	Common Shares	Dusterhoft, Dale M.	5	2020-08-14	51	0.82	579,212	2,400

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Trican Well Service Ltd.	Common Shares	Dusterhoft, Dale M.	5	2020-08-14	10	1.14	576,812	-2,400
Trican Well Service Ltd.	Common Shares	Dusterhoft, Dale M.	5	2020-08-17	51	0.82	604,412	27,600
Trican Well Service Ltd.	Common Shares	Dusterhoft, Dale M.	5	2020-08-17	10	1.14	576,812	-27,600
Trican Well Service Ltd.	Options Employee Stock Options	Dusterhoft, Dale M.	5	2020-08-14	51	0.82	2,373,100	-2,400
Trican Well Service Ltd.	Options Employee Stock Options	Dusterhoft, Dale M.	5	2020-08-17	51	0.82	2,345,500	-27,600
Trican Well Service Ltd.	Options Employee Stock Options	Fedora, Bradley P. D.	4	2017-06-02	00			
Trican Well Service Ltd.	Options Employee Stock Options	Fedora, Bradley P. D.	4	2020-08-18	50	1.12	2,000,000	2,000,000
Trillion Energy International Inc. (formerly Park Place Energy Inc.)	Common Shares	Halleran, Arthur Alvin	4, 5	2020-07-14	46	0.06		2,360,000
Trillion Energy International Inc. (formerly Park Place Energy Inc.)	Common Shares	Halleran, Arthur Alvin	4, 5	2020-07-31	46	0.06	5,203,434	2,360,000
Trillion Energy International Inc. (formerly Park Place Energy Inc.)	Warrants	Halleran, Arthur Alvin	4, 5	2020-06-30	53	0.12		2,360,000
Trillion Energy International Inc. (formerly Park Place Energy Inc.)	Warrants	Halleran, Arthur Alvin	4, 5	2020-07-31	53	0.12	3,744,217	2,360,000
Tucows Inc.	Common Shares	Chase, Robin	4	2020-08-17	51	24.96	8,125	3,750
Tucows Inc.	Common Shares	Chase, Robin	4	2020-08-17	97	64.45	6,672	-1,453
Tucows Inc.	Options	Chase, Robin	4	2020-08-17	51	24.96	21,250	-3,750
Tucows Inc.	Common Shares	Karp, Allen	4	2020-08-19	51	24.96	21,981	3,750
Tucows Inc.	Common Shares	Karp, Allen	4	2020-08-19	97	63.71	20,082	-1,899
Tucows Inc.	Options	Karp, Allen	4	2020-08-19	51	24.96	173,750	-3,750
Tucows Inc.	Common Shares	Schwartz, Jeffrey	4	2020-08-20	10	66	8,625	-1,872
TVA Group Inc.	Options d'achat d'actions classe B	Carrier, Martin	5	2020-04-06	00			
TVA Group Inc.	Options d'achat d'actions classe B	Carrier, Martin	5	2020-08-14	50	1.4		30,000
TVA Group Inc.	Options d'achat d'actions classe B	Carrier, Martin	5	2020-08-14	50		30,000	30,000
TVA Group Inc.	Options d'achat d'actions classe B	Dubois, Anick	5	2020-08-14	50		60,000	30,000
TVA Group Inc.	Options d'achat d'actions classe B	Dubois, Denis	5	2019-12-17	00			
TVA Group Inc.	Options d'achat d'actions classe B	Dubois, Denis	5	2020-08-14	50		20,000	20,000
TVA Group Inc.	Options d'achat d'actions classe B	Foisy, Claude	5	2016-09-29	00			
TVA Group Inc.	Options d'achat d'actions classe B	Foisy, Claude	5	2020-08-14	50		20,000	20,000
TVA Group Inc.	Options d'achat d'actions classe B	Fortin, Serge	5	2020-08-14	50		105,000	30,000
TVA Group Inc.	Options d'achat d'actions classe B	Lauzière, France	5	2020-08-14	50		260,000	80,000
TVA Group Inc.	Options d'achat d'actions classe B	Picard, Martin	5	2020-08-14	50		60,000	20,000
TVA Group Inc.	Options d'achat d'actions classe B	Reid, Jean-Francois	5	2020-08-14	50		60,000	20,000
TVA Group Inc.	Options d'achat d'actions classe B	Rozon, Denis	5	2020-08-14	50		100,000	30,000
UGE International Ltd.	Common Shares	Van Duynhoven, Robert Anthony	7	2020-08-19	46	0.38	426,574	78,948
Unigold Inc.	Common Shares	2176423 Ontario Ltd.	3	2020-08-18	10	0.55	22,400,000	3,500,000

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Unigold Inc.	Common Shares	Acero, Jose Ignacio	4	2020-08-17	51	0.1	216,700	150,000
Unigold Inc.	Options	Acero, Jose Ignacio	4	2020-08-17	51	0.1	300,000	-150,000
Unigold Inc.	Common Shares	Lacoste, Jean-Marc	4	2020-08-17	10	0.55	75,000	-75,000
Unigold Inc.	Common Shares	Lacoste, Jean-Marc	4	2020-08-18	10	0.59	0	-75,000
Unigold Inc.	Common Shares	Sprott, Eric S.	3	2020-08-18	10	0.55	22,400,000	3,500,000
Ur-Energy Inc.	Common Shares	Boberg, Walter William	5	2020-08-21	57		795,983	13,914
Ur-Energy Inc.	Options	Boberg, Walter William	5	2020-08-17	52	0.86	646,224	-29,690
Ur-Energy Inc.	Restricted Share Units	Boberg, Walter William	5	2020-08-21	57		61,026	-13,914
Ur-Energy Inc.	Common Shares	Cash, John William	5	2020-08-21	57		177,041	11,248
Ur-Energy Inc.	Options	Cash, John William	5	2020-08-17	52	0.86	709,512	-46,782
Ur-Energy Inc.	Restricted Share Units	Cash, John William	5	2020-08-21	57		56,731	-14,869
Ur-Energy Inc.	Common Shares	Chang, Robby Sai Kit	4	2018-03-30	00			
Ur-Energy Inc.	Common Shares	Chang, Robby Sai Kit	4	2020-08-21	57		10,157	10,157
Ur-Energy Inc.	Restricted Share Units	Chang, Robby Sai Kit	4	2020-08-21	57		61,026	-13,914
Ur-Energy Inc.	Common Shares	Franklin, James	4	2020-08-21	57		552,718	10,157
Ur-Energy Inc.	Options	Franklin, James	4	2020-08-17	52	0.86	646,224	-29,690
Ur-Energy Inc.	Restricted Share Units	Franklin, James	4	2020-08-21	57		61,026	-13,914
Ur-Energy Inc.	Common Shares	Goplerud, Penne Ann	5	2020-08-21	57		212,758	12,643
Ur-Energy Inc.	Options	Goplerud, Penne Ann	5	2020-08-17	52		855,500	-56,012
Ur-Energy Inc.	Restricted Share Units	Goplerud, Penne Ann	5	2020-08-21	57		67,918	-17,803
Ur-Energy Inc.	Common Shares	Hatten, Steven Marcal	5	2020-08-21	57		171,391	11,803
Ur-Energy Inc.	Options	Hatten, Steven Marcal	5	2020-08-17	52	0.86	744,725	-49,090
Ur-Energy Inc.	Restricted Share Units	Hatten, Steven Marcal	5	2020-08-21	57		59,524	-15,603
Ur-Energy Inc.	Common Shares	Huber, Gary Chase	4	2020-08-21	57		172,454	13,914
Ur-Energy Inc.	Options	Huber, Gary Chase	4	2020-05-29	52		633,914	-200,000
Ur-Energy Inc.	Options	Huber, Gary Chase	4	2020-08-17	52	0.86	604,224	-29,690
Ur-Energy Inc.	Restricted Share Units	Huber, Gary Chase	4	2020-08-21	57		61,026	-13,914
Ur-Energy Inc.	Common Shares	Klenda, Jeffrey T.	5	2020-08-21	57			19,714
Ur-Energy Inc.	Common Shares	Klenda, Jeffrey T.	5	2020-08-21	57			19,714
Ur-Energy Inc.	Common Shares	Klenda, Jeffrey T.	5	2020-08-21	57		2,797,737	19,714
Ur-Energy Inc.	Options	Klenda, Jeffrey T.	5	2020-08-17	52	0.86		-70,762
Ur-Energy Inc.	Options	Klenda, Jeffrey T.	5	2020-08-17	52	0.86		-70,762
Ur-Energy Inc.	Options	Klenda, Jeffrey T.	5	2020-08-17	52	0.86	1,489,145	-70,762
Ur-Energy Inc.	Restricted Share Units	Klenda, Jeffrey T.	5	2020-08-21	56			-27,759
Ur-Energy Inc.	Restricted Share Units	Klenda, Jeffrey T.	5	2020-08-21	56			-27,759
Ur-Energy Inc.	Restricted Share Units	Klenda, Jeffrey T.	5	2020-08-21	57		130,219	-27,759
Ur-Energy Inc.	Common Shares	Parker, Thomas Howard	4	2020-08-21	57		191,268	13,914
Ur-Energy Inc.	Options	Parker, Thomas Howard	4	2020-08-17	52	0.86	646,224	-29,690
Ur-Energy Inc.	Restricted Share Units	Parker, Thomas Howard	4	2020-08-21	57		61,026	-13,914
Ur-Energy Inc.	Common Shares	Smith, Roger L.	5	2020-08-21	57		328,186	14,063
Ur-Energy Inc.	Options	Smith, Roger L.	5	2020-08-17	52	0.86	951,572	-62,302
Ur-Energy Inc.	Restricted Share Units	Smith, Roger L.	5	2020-08-21	57		75,547	-19,802
Ur-Energy Inc.	Common Shares	Walker, Kathy E.	4	2020-08-21	57		67,914	13,914
Ur-Energy Inc.	Restricted Share Units	Walker, Kathy E.	4	2020-08-21	57		61,026	-13,914

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Urbana Corporation	Non-Voting Shares Class A	Colle, Bethann	4	2020-08-18	10	2.56	31,493	645
Vanadium One Iron Corp.	Common Shares	Brennan, Mark Peter	4	2020-08-14	16	0.1	3,407,500	380,000
Vanadium One Iron Corp.	Warrants	Brennan, Mark Peter	4	2020-08-14	53		1,930,000	380,000
Vanadium One Iron Corp.	Common Shares	GROENEWALD, CASPARUS JOHANNES	4	2019-01-07	00			
Vanadium One Iron Corp.	Common Shares	GROENEWALD, CASPARUS JOHANNES	4	2020-08-14	16	0.1	500,000	500,000
Vanadium One Iron Corp.	Warrants	GROENEWALD, CASPARUS JOHANNES	4	2019-01-07	00			
Vanadium One Iron Corp.	Warrants	GROENEWALD, CASPARUS JOHANNES	4	2020-08-14	16	0.15	500,000	500,000
Vanadium One Iron Corp.	Common Shares	Hale-Sanders, Clifford David	4, 5	2020-08-14	16	0.1	1,600,000	200,000
Vanadium One Iron Corp.	Warrants	Hale-Sanders, Clifford David	4, 5	2020-08-14	16	0.15	900,000	200,000
Vanadium One Iron Corp.	Common Shares	Martin, Ashley Steven	5	2020-08-14	16	0.1	5,195,000	500,000
Vanadium One Iron Corp.	Warrants	Martin, Ashley Steven	5	2020-08-14	16		2,025,000	500,000
Vanadium One Iron Corp.	Common Shares	Moore, Dennis	4	2020-08-14	11	0.1	1,078,500	200,000
Vanadium One Iron Corp.	Warrants	Moore, Dennis	4	2020-08-14	53	0.15	400,000	200,000
Velocity Minerals Ltd.	Options	CRUISE, MARK DANIEL	3, 4, 5	2020-08-11	50	0.48	420,000	20,000
Velocity Minerals Ltd.	Options	Musial, Joyce	5	2020-08-11	50		790,000	40,000
Vermilion Energy Inc.	Rights Share Awards	Donadeo, Lorenzo	4, 5	2020-08-17	56	6.2801	318,146	313,820
Vermilion Energy Inc.	Rights Share Awards	Donadeo, Lorenzo	4, 5	2020-08-17	56	6.2801	660,496	342,350
Vermilion Energy Inc.	Rights Share Awards	Donadeo, Lorenzo	4, 5	2020-08-17	56	6.3952	996,689	336,193
Vermilion Energy Inc.	Rights Share Awards	Hicks, Curtis W.	5	2020-05-22	00			
Vermilion Energy Inc.	Rights Share Awards	Hicks, Curtis W.	5	2020-08-17	56	6.2801	386,802	386,802
Vermilion Energy Inc.	Rights Share Awards	Hicks, Curtis W.	5	2020-08-17	56	6.2801	808,768	421,966
Vermilion Energy Inc.	Rights Share Awards	Hicks, Curtis W.	5	2020-08-17	56	6.3952	1,223,145	414,377
Village Farms International, Inc.	Common Shares	Woodward, Christopher Charles	4	2020-08-20	99		24,900	-2,700
Village Farms International, Inc.	Common Shares	Woodward, Christopher Charles	4	2020-08-18	57		131,100	20,000
Village Farms International, Inc.	Common Shares	Woodward, Christopher Charles	4	2020-08-20	99		106,100	-25,000
Village Farms International, Inc.	Common Shares	Woodward, Christopher Charles	4	2020-08-20	99		28,700	17,700
Village Farms International, Inc.	Common Shares	Woodward, Christopher Charles	4	2020-08-20	99		14,000	10,000
Village Farms International, Inc.	Restricted Share Units (Performance-Based)	Woodward, Christopher Charles	4	2020-08-18	57		0	-20,000
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-08-11	10	0.8043	1,024,715	-157,500
Vireo Health International, Inc. (formerly Darien Business Development Corp.)	Subordinate Voting Shares	Linton, Bruce	3	2020-08-12	10	0.8401	989,973	-34,742
Visible Gold Mines Inc.	Common Shares	Dallaire, Martin	4, 5	2020-08-20	10	0.275	1,454,500	4,500
Vitalhub Corp.	Common Shares	Shen, Francis Nelson	4	2020-08-14	10	1.82	0	-193,500
Vitalhub Corp.	Common Shares	Shen, Francis Nelson	4	2020-08-14	10	1.82	2,196,750	193,500

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Vodis Pharmaceuticals Inc.	Common Shares	Good, Derek	3	2020-08-14	10	0.055	13,983,510	50,000
Vodis Pharmaceuticals Inc.	Common Shares	Good, Derek	3	2020-08-14	10	0.05	13,988,510	5,000
Vodis Pharmaceuticals Inc.	Common Shares	Good, Derek	3	2020-08-18	10	0.05	14,218,510	230,000
Vodis Pharmaceuticals Inc.	Common Shares	Good, Derek	3	2020-08-18	10	0.055	14,233,510	15,000
Vodis Pharmaceuticals Inc.	Common Shares	Good, Derek	3	2020-08-19	10	0.05	14,253,510	20,000
Vodis Pharmaceuticals Inc.	Common Shares	Good, Derek	3	2020-08-20	10	0.055	14,283,510	30,000
Vodis Pharmaceuticals Inc.	Common Shares	Good, Derek	3	2020-08-21	10	0.06	14,303,510	20,000
Vox Royalty Corp. (formerly AIM3 Ventures Inc.)	Common Shares	Floyd, Kyle	4, 5	2020-05-19	00			
Vox Royalty Corp. (formerly AIM3 Ventures Inc.)	Common Shares	Floyd, Kyle	4, 5	2020-05-19	00		1,939,838	
Vox Royalty Corp. (formerly AIM3 Ventures Inc.)	Common Shares	Sckalor, Rob	4	2020-05-19	00			
Vox Royalty Corp. (formerly AIM3 Ventures Inc.)	Common Shares	Sckalor, Rob	4	2020-05-19	00		1,056,841	
Walcott Resources Ltd.	Options	Cowin, Michael	4	2019-07-30	00			
Walcott Resources Ltd.	Options	Cowin, Michael	4	2020-08-13	50	0.305	150,000	150,000
Walcott Resources Ltd.	Options	Farris, Marshall	3, 4, 5	2019-07-30	00			
Walcott Resources Ltd.	Options	Farris, Marshall	3, 4, 5	2020-08-13	50	0.305	150,000	150,000
Walcott Resources Ltd.	Options	Lee, Kelvin Wah Chin	4, 5	2020-07-09	00			
Walcott Resources Ltd.	Options	Lee, Kelvin Wah Chin	4, 5	2020-08-13	50	0.305	250,000	250,000
Walcott Resources Ltd.	Options	Mirko, John Martin	4	2019-07-30	00			
Walcott Resources Ltd.	Options	Mirko, John Martin	4	2019-07-30	00			
Walcott Resources Ltd.	Options	Mirko, John Martin	4	2020-08-13	50		150,000	150,000
Walcott Resources Ltd.	Options	Mirko, John Martin	4	2020-08-13	50		300,000	150,000
Waste Connections, Inc. (formerly Progressive Waste Solutions Ltd.)	Common Shares	Mittelstaedt, Ronald J	4, 5	2020-08-14	10	100.19	142,811	-48,814
Wesdome Gold Mines Ltd.	Common Shares	Carpenter, Lindsay Jean Maria	5	2020-08-20	51	2.46	37,695	25,000
Wesdome Gold Mines Ltd.	Common Shares	Carpenter, Lindsay Jean Maria	5	2020-08-20	10	14.75	12,695	-25,000
Wesdome Gold Mines Ltd.	Options	Carpenter, Lindsay Jean Maria	5	2020-08-20	51		166,599	-25,000
Wesdome Gold Mines Ltd.	Common Shares	Gill, Rajbir	5	2020-08-11	00			
Wesdome Gold Mines Ltd.	Options	Gill, Rajbir	5	2020-08-11	00			
Wesdome Gold Mines Ltd.	Options	Gill, Rajbir	5	2020-08-14	50		19,802	19,802
Wesdome Gold Mines Ltd.	Common Shares	Kimmett, Stacy	5	2020-08-20	51	3.28	35,376	25,000
Wesdome Gold Mines Ltd.	Common Shares	Kimmett, Stacy	5	2020-08-20	10	14.54	10,376	-25,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/Disposed
Wesdome Gold Mines Ltd.	Options	Kimmett, Stacy	5	2020-08-20	51			-25,000
Wesdome Gold Mines Ltd.	Options	Kimmett, Stacy	5	2020-08-20	51			-25,000
Wesdome Gold Mines Ltd.	Options	Kimmett, Stacy	5	2020-08-20	51		105,140	-25,000
Wesdome Gold Mines Ltd.	Common Shares	Laxton, Heather Anne	5	2020-08-17	51	2.46	105,102	99,000
Wesdome Gold Mines Ltd.	Common Shares	Laxton, Heather Anne	5	2020-08-17	10	14.2	6,102	-99,000
Wesdome Gold Mines Ltd.	Options	Laxton, Heather Anne	5	2020-08-17	51		119,486	-99,000
West Red Lake Gold Mines Inc.	Options	Dehn, Michael	4	2020-08-14	52	0.1	400,000	-200,000
West Vault Mining Inc.	Common Shares	Palmedo, Peter Franklin	4	2020-07-02	36		20,313,740	-
West Vault Mining Inc.	Common Shares	Palmedo, Peter Franklin	4	2020-08-12	11	1.15	26,822,740	6,509,000
Western Copper and Gold Corporation	Options	West-Sells, Paul George	5	2020-07-27	50	1.66	950,000	250,000
Western Energy Services Corp.	Common Shares	Armoyan, Sime	3	2020-07-16	10	0.25	16,260,500	5,000
Western Energy Services Corp.	Common Shares	Armoyan, Sime	3	2020-08-12	10	0.25		181,000
Western Energy Services Corp.	Common Shares	Armoyan, Sime	3	2020-08-12	10	0.25	16,941,000	162,000
Western Energy Services Corp.	Common Shares	Armoyan, Sime	3	2020-08-13	10	0.25	16,951,000	10,000
Western Energy Services Corp.	Common Shares	Armoyan, Sime	3	2020-08-14	10	0.25	16,986,500	35,500
Western Energy Services Corp.	Common Shares	Balkwill, Peter John	5	2020-08-20	57		26,071	4,863
Western Energy Services Corp.	Common Shares	Balkwill, Peter John	5	2020-08-20	10		23,538	-2,533
Western Energy Services Corp.	Restricted Share Unit	Balkwill, Peter John	5	2020-08-20	57		15,400	-4,863
Western Energy Services Corp.	Common Shares	Bowers, Jeffrey Keith	5	2020-08-20	57		865,911	9,303
Western Energy Services Corp.	Restricted Share Unit	Bowers, Jeffrey Keith	5	2020-08-20	57		29,457	-9,303
Western Energy Services Corp.	Common Shares	Copeland, Donald Darrell	4	2020-08-20	57		175,040	4,993
Western Energy Services Corp.	Restricted Share Unit	Copeland, Donald Darrell	4	2020-08-20	57		15,810	-4,993
Western Energy Services Corp.	Common Shares	Gartner, Lorne	4	2020-08-20	57		104,619	4,993
Western Energy Services Corp.	Restricted Share Unit	Gartner, Lorne	4	2020-08-20	57		15,810	-4,993
Western Energy Services Corp.	Common Shares	Lundstrom, Daniel Vern	5	2020-08-20	57		8,060	2,420
Western Energy Services Corp.	Restricted Share Unit	Lundstrom, Daniel Vern	5	2020-08-20	57		7,660	-2,420
Western Energy Services Corp.	Common Shares	MacAusland, Alexander Roland Neil	4, 5	2020-08-20	56		1,162,722	13,027
Western Energy Services Corp.	Restricted Share Unit	MacAusland, Alexander Roland Neil	4, 5	2020-08-20	57		41,246	-13,027
Western Energy Services Corp.	Common Shares	Mathison, Ronald	4	2020-08-20	57		8,228,151	6,657
Western Energy Services Corp.	Restricted Share Unit	Mathison, Ronald	4	2020-08-20	57		21,076	-6,657
Western Energy Services Corp.	Common Shares	Rooney, John Ross	4	2020-08-20	57		640,123	4,993
Western Energy Services Corp.	Common Shares	Rooney, John Ross	4	2020-08-20	10	0.25	637,522	-2,601
Western Energy Services Corp.	Restricted Share Unit	Rooney, John Ross	4	2020-08-20	57		15,810	-4,993

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
Westport Fuel Systems Inc.	Common Shares	Eprile, Brenda	4	2020-08-07	10	2.15	194,740	13,000
Westport Fuel Systems Inc.	Common Shares	Eprile, Brenda	4	2020-08-07	10	2.14	206,140	11,400
Westport Fuel Systems Inc.	Common Shares	Eprile, Brenda	4	2020-08-14	10	2.5	216,140	10,000
White Metal Resources Corp.	Common Shares	Stares, Michael	4, 5	2020-08-19	16	0.07	2,792,857	142,857
White Metal Resources Corp.	Warrants	Stares, Michael	4, 5	2020-08-19	16	0.1	2,071,428	71,428
White Metal Resources Corp.	Common Shares	Strashin, Elliot Phillip	3, 4, 5	2020-08-17	16		635,024	400,000
White Metal Resources Corp.	Common Shares	Strashin, Elliot Phillip	3, 4, 5	2020-08-17	16		5,147,617	2,000,000
White Metal Resources Corp.	Warrants	Strashin, Elliot Phillip	3, 4, 5	2020-08-17	16	0.1	200,000	200,000
White Metal Resources Corp.	Warrants	Strashin, Elliot Phillip	3, 4, 5	2020-08-17	16	0.1	2,367,500	2,000,000
X-Terra Resources Inc.	Common Shares	Oishi, Kim	4	2020-08-07	16	0.1	1,030,000	1,000,000
X-Terra Resources Inc.	Options	Oishi, Kim	4	2018-11-06	00			
X-Terra Resources Inc.	Options	Oishi, Kim	4	2020-08-07	53	0.15	1,000,000	1,000,000
Xanadu Mines Ltd	Ordinary Shares	Asia Capital & Advisors Pte. Ltd.	3	2020-08-18	16	0.0428	111,272,834	14,513,848
Xanadu Mines Ltd	Ordinary Shares	Asia Capital & Advisors Pte. Ltd.	3	2020-08-18	16	0.0428	84,446,644	11,014,779
Xanadu Mines Ltd	Ordinary Shares	Rozario, Aaron Andrew	6	2020-08-18	16	0.0428	111,272,834	14,513,848
Xanadu Mines Ltd	Ordinary Shares	Rozario, Aaron Andrew	6	2020-08-18	16	0.0428	84,446,644	11,014,779
Xanadu Mines Ltd	Ordinary Shares	Rozario, Francis Andrew	6	2020-08-18	16	0.0428	111,272,834	14,513,848
Xanadu Mines Ltd	Ordinary Shares	Rozario, Francis Andrew	6	2020-08-18	16	0.0428	84,446,644	11,014,779
Xanadu Mines Ltd	Ordinary Shares	Welch, Mathew Nevil	6	2020-08-18	16	0.0428	111,272,834	14,513,848
Xanadu Mines Ltd	Ordinary Shares	Welch, Mathew Nevil	6	2020-08-18	16	0.0428	84,446,644	11,014,779
Xebec Adsorption Inc.	Common Shares	Beckett, William K.	4	2020-08-17	51	0.14	405,337	200,000
Xebec Adsorption Inc.	Options	Beckett, William K.	4	2020-08-17	51	0.14	437,000	-200,000
Xebec Adsorption Inc.	Common Shares	Saint-Jacques, Guy	4	2020-08-13	51	0.55	47,333	12,333
Xebec Adsorption Inc.	Options	Saint-Jacques, Guy	4	2020-08-13	51	0.55	12,334	-12,333
Xenon Pharmaceuticals Inc.	Options	Von Seggern, Christopher	5	2020-08-17	00			
Xenon Pharmaceuticals Inc.	Options	Von Seggern, Christopher	5	2020-08-17	50		100,000	100,000
Ximen Mining Corp.	Warrants	Anderson, Christopher Ross	4	2020-08-21	45	0.8125		227,272
Ximen Mining Corp.	Warrants	Anderson, Christopher Ross	4	2020-08-21	53	0.8125	4,397,414	227,272
XORTX Therapeutics Inc. (formerly: APAC Resources Inc.)	Common Shares	Fairbairn, James Neville	5	2020-08-18	10	0.22	78,500	65,000
Xtierra Inc.	Common Shares	Gallagher, Timothy David	3, 4, 5	2020-08-18	51	0.05	400,000	400,000
Xtierra Inc.	Options	Gallagher, Timothy David	3, 4, 5	2020-08-18	51	0.05	3,600,000	-400,000
Zargon Oil & Gas Ltd.	Common Shares	Hansen, Craig Henry	4, 5	2020-08-04	30	0.055	424,719	-62,303
Zedcor Energy Inc.	Common Shares	Swanberg, Dean Sylvan	3, 4, 5	2020-08-20	11	0.1625	13,658,409	64,107
ZeU Crypto Networks Inc.	Common Shares	Dumas, Francois	4, 5	2020-08-14	10	0.18		11,000
ZeU Crypto Networks Inc.	Common Shares	Dumas, Francois	4, 5	2020-08-14	10	0.18		11,000

Insider Reporting

Issuer Name	Security	Insider Name	Rel'n	Transaction Date	T/O	Unit Price	Date/Month End Holdings	Acquired/ Disposed
ZeU Crypto Networks Inc.	Common Shares	Dumas, Francois	4, 5	2020-08-14	10	0.18	1,162,325	19,000
ZeU Crypto Networks Inc.	Common Shares	Dumas, Francois	4, 5	2020-08-17	10	0.18	1,168,325	6,000

Chapter 11

IPOs, New Issues and Secondary Financings

INVESTMENT FUNDS

Issuer Name:

Discovery 2020 Short Duration LP
Principal Regulator - Alberta (ASC)

Type and Date:

Preliminary Long Form Prospectus dated August 20, 2020
NP 11-202 Preliminary Receipt dated August 20, 2020

Offering Price and Description:

Maximum: \$25,000,000 – 1,000,000 Class A Units and/or
Class F Units

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

Price: \$25.00 per unit

Minimum Purchase: \$2,500

Underwriter(s) or Distributor(s):

RBC Dominion Securities Inc.

CIBC World Market Inc.

BMO Nesbitt Burns Inc.

National Bank Financial Inc.

Scotia Capital Inc.

TD Securities Inc.

Richardson GMP Limited

Manulife Securities Incorporated

Industrial Alliance Securities Inc.

Canaccord Genuity Corp.

Middlefield Capital Corporation

Echelon Wealth Partners Inc.

Raymond James Ltd.

Promoter(s):

Middlefield Resource Corporation

Project #3099698

Issuer Name:

Global Dividend Growth Split Corp.

Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus (NI 44-102) dated August 17,
2020

NP 11-202 Preliminary Receipt dated August 18, 2020

Offering Price and Description:

Maximum: \$300,000,000 - Preferred Shares and Class A
Shares

Price: \$10.34 Preferred Shares and \$9.80 Class A Shares

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3098363

Issuer Name:

Maple Leaf Short Duration 2020-II Flow-Through Limited
Partnership - National Class

Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated August 21, 2020
NP 11-202 Preliminary Receipt dated August 24, 2020

Offering Price and Description:

Maximum: \$10,000,000 - 400,000 Maple Leaf Short
Duration 2020-II FlowThrough Limited Partnership –
National Class Units

Minimum: \$2,500,000- 100,000 Maple Leaf Short Duration
2020-II FlowThrough Limited Partnership – National Class
Units

Price per Unit: \$25.00

Minimum Purchase: \$5,000 (200 Units)

Underwriter(s) or Distributor(s):

Scotia Capital Inc.

National Bank Financial Inc.

CIBC World Market Inc.

BMO Nesbitt Burns Inc.

Industrial Alliance Securities Inc.

Richardson GMP Limited

Canaccord Genuity Corp.

Echelon Wealth Partners Inc.

Manulife Securities Incorporated

Raymond James Ltd.

Laurentian Bank Securities Inc.

Promoter(s):

Maple Leaf Short Duration Holding Ltd.

Maple Leaf Short Duration 2020-II Flow-Through

Management Corp.

Project #3100234

Issuer Name:

Maple Leaf Short Duration 2020-II Flow-Through Limited Partnership - Quebec Class
Principal Regulator - British Columbia

Type and Date:

Preliminary Long Form Prospectus dated August 21, 2020
NP 11-202 Preliminary Receipt dated August 24, 2020

Offering Price and Description:

Maximum: \$10,000,000 - 400,000 Maple Leaf Short Duration 2020-II FlowThrough Limited Partnership – Quebec Class Units
Minimum: \$2,500,000- 100,000 Maple Leaf Short Duration 2020-II FlowThrough Limited Partnership – Quebec Class Units

Price per Unit: \$25.00

Minimum Purchase: \$5,000 (200 Units)

Underwriter(s) or Distributor(s):

Scotia Capital Inc.
National Bank Financial Inc.
CIBC World Market Inc.
BMO Nesbitt Burns Inc.
Industrial Alliance Securities Inc.
Richardson GMP Limited
Canaccord Genuity Corp.
Desjardins Securities Inc.
Echelon Wealth Partners Inc.
Manulife Securities Incorporated
Raymond James Ltd.
Laurentian Bank Securities Inc.

Promoter(s):

Maple Leaf Short Duration Holding Ltd.
Maple Leaf Short Duration 2020-II Flow-Through Management Corp.

Project #3100241

Issuer Name:

Ninepoint 2020 Short Duration Flow-Through Limited Partnership
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated August 21, 2020
NP 11-202 Preliminary Receipt dated August 24, 2020

Offering Price and Description:

Maximum: \$20,000,000 - 800,000 Limited Partnership Units - Class A Units and Class F Units
Minimum: \$5,000,000 - 200,000 Limited Partnership Units
Price per Unit: \$25
Minimum Subscription: \$2,500 (100 Units)

Underwriter(s) or Distributor(s):

RBC Dominion Securities Inc.
CIBC World Market Inc.
TD Securities Inc.
National Bank Financial Inc.
Scotia Capital Inc.
BMO Nesbitt Burns Inc.
Richardson GMP Limited
Manulife Securities Incorporated
Industrial Alliance Securities Inc.
Canaccord Genuity Corp
Raymond James Ltd.
Desjardins Securities Inc.

Promoter(s):

Ninepoint 2019 Corporation

Project #3100317

Issuer Name:

Ridgewood Canadian Investment Grade Bond Fund
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus (NI 44-102) dated August 24, 2020

NP 11-202 Preliminary Receipt dated August 24, 2020

Offering Price and Description:

Maximum: \$400,000,000 - Units
Price: \$16.66 per Units

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3100727

Issuer Name:

Global Dividend Growth Split Corp.
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus (NI 44-102) dated August 21, 2020
NP 11-202 Receipt dated August 24, 2020

Offering Price and Description:

\$300,000,000 - Preferred Shares and Class A Shares

Underwriter(s) or Distributor(s):

N/A

Promoter(s):

N/A

Project #3098363

Issuer Name:

Fidelity Canadian Core Equity Fund
Fidelity U.S. Core Equity Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Aug 24, 2020
NP 11-202 Preliminary Receipt dated Aug 24, 2020

Offering Price and Description:

Series Q units

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #3100975

Issuer Name:

Mackenzie Private Equity Replication Fund
Principal Regulator – Ontario

Type and Date:

Preliminary Simplified Prospectus dated Aug 21, 2020
NP 11-202 Preliminary Receipt dated Aug 24, 2020

Offering Price and Description:

Series PW units, Series FB units, Series A units, Series O units, Series PWX units, Series PWFB units and Series F units

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #3100242

Issuer Name:

Advanced Folio Fund
Aggressive Folio Fund
Balanced Folio Fund
Canada Life American Equity Fund (Beutel Goodman)
Canada Life Balanced Fund (Beutel Goodman)
Canada Life Canadian Balanced Fund
Canada Life Canadian Fixed Income Balanced Fund
Canada Life Equity/Bond Fund (GLC)
Canada Life Global Fixed Income Balanced Fund (Brandywine)
Canada Life Global Focused Growth Balanced Fund
Canada Life Global Founders Fund (Beutel Goodman)
Canada Life Global Growth Balanced Fund (T. Rowe Price)
Canada Life Global Growth Equity Fund (T. Rowe Price)
Canada Life Global Multi-Sector Bond Fund (T. Rowe Price)
Canada Life Global Small-Mid Cap Growth Fund
Canada Life Global Value Balanced Fund (Beutel Goodman)
Canada Life International Opportunity Fund (JPMorgan)
Canada Life Science & Technology Fund (London Capital)
Canada Life Tactical Bond Fund (Portico)
Canada Life U.S. Equity Fund (London Capital)
Canada Life Unconstrained Fixed Income Fund
Canada Life US Mid Cap Opportunities Fund
Canadian Equity Fund (Laketon)
Canadian Growth Fund (GWLIM)
Conservative Folio Fund
Core Bond Fund (Portico)
Core Plus Bond Fund (Portico)
Corporate Bond Fund (Portico)
Diversified Fixed Income Folio Fund
Dividend Fund (GWLIM)
Global All Cap Equity Fund (Setanta)
Global Dividend Equity Fund (Setanta)
Global Infrastructure Equity Fund (London Capital)
Global Low Volatility Fund (ILIM)
Global Monthly Income Fund (London Capital)
Global Real Estate Fund (London Capital)
Growth and Income Fund (GWLIM)
Income Fund (Portico)
International Core Equity Fund (JPMorgan)
Mackenzie Canadian Dividend Fund
Mackenzie Canadian Growth Fund
Mackenzie Floating Rate Income Fund
Mackenzie Global Growth Class
Mackenzie Global Resource Fund
Mackenzie Ivy European Class
Mackenzie Ivy Foreign Equity Fund
Mackenzie Ivy Global Balanced Fund
Mackenzie Precious Metals Class
Mackenzie Strategic Income Fund
Mackenzie US All Cap Growth Fund
Mackenzie US Small-Mid Cap Growth Class
Mid Cap Canada Fund (GWLIM)
Moderate Folio Fund
Money Market Fund
Monthly Income Fund (London Capital)
North American High Yield Bond Fund
Short Term Bond Fund (Portico)
U.S. Dividend Fund (GWLIM)
U.S. Low Volatility Fund (Putnam)

U.S. Value Fund (Putnam)
Principal Regulator – Ontario

Type and Date:

Combined Preliminary and Pro Forma Simplified
Prospectus dated Aug 14, 2020
NP 11-202 Final Receipt dated Aug 18, 2020

Offering Price and Description:

Series T8 securities, HW5 series securities, Series O5 securities, Series A securities, Series F8 securities, Series LB securities, HW8 series securities, Series PWR securities, Series PWT5 securities, Series O securities, Quadrus series securities, Series PWFB securities, H series, L5 series securities, N5 series securities, Series D securities, Series PWX8 securities, QFW series securities, HW series securities, H5 series securities, Series LX securities, L series securities, Series F5 securities, D5 series securities, Series LF securities, Series PWT8 securities, N series securities, I series securities, Series PW securities, Quadrus series, QFW series, Series G securities, QF5 series securities, Series PWX securities, Series FB securities, Series LW securities, L series, Series PWFB5 securities, QFW5 series securities, L8 series securities, Series FB5 securities, N series securities, Series AR securities, N8 series securities, Q series securities, Series I securities, H series securities, H8 series securities, QF series, Series T5 securities, N series, QF series securities, D8 series securities, Series LW5 securities, RB series securities and Series F securities

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #3072711

Issuer Name:

Invesco S&P/TSX Composite ESG Index ETF
Principal Regulator – Ontario

Type and Date:

Preliminary Long Form Prospectus dated Aug 19, 2020
NP 11-202 Preliminary Receipt dated Aug 20, 2020

Offering Price and Description:

CAD Units

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #3099165

Issuer Name:

AGFIQ US Long/Short Dividend Income CAD-Hedged ETF
Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Long Form Prospectus dated
August 13, 2020
NP 11-202 Final Receipt dated Aug 18, 2020

Offering Price and Description:

Units

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #2940823

Issuer Name:

AGFIQ Global Equity ETF Portfolio (formerly, AGFIQ Global
Equity Rotation ETF)
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Long Form Prospectus dated
August 13, 2020
NP 11-202 Final Receipt dated Aug 18, 2020

Offering Price and Description:

Units

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #3002276

Issuer Name:

AGFiQ US Long/Short Dividend Income CAD-Hedged
Fund
Principal Regulator - Ontario

Type and Date:

Amendment #2 to Final Simplified Prospectus dated
August 13, 2020
NP 11-202 Final Receipt dated Aug 20, 2020

Offering Price and Description:

Mutual Fund Series Securities,
Series F Securities, Series FV Securities, Series I
Securities, Series O Securities,
Series T Securities and Series V Securities

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #2940822

Issuer Name:

Invesco Indo-Pacific Fund
Principal Regulator - Ontario

Type and Date:

Amendment #1 to Final Simplified Prospectus dated
August 18, 2020
NP 11-202 Final Receipt dated Aug 21, 2020

Offering Price and Description:

Series A units, Series F units, Series PTF units, Series
PTFU units

Underwriter(s) or Distributor(s):

N/A.

Promoter(s):

N/A

Project #3069832

NON-INVESTMENT FUNDS

Issuer Name:

Absolute Software Corporation
Principal Regulator - British Columbia

Type and Date:

Preliminary Shelf Prospectus dated August 18, 2020
NP 11-202 Preliminary Receipt dated August 19, 2020

Offering Price and Description:

US\$120,000,000.00 - Common Shares, Warrants,
Subscription Receipts, Units, Debt Securities, Share
Purchase Contracts

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3098811

Issuer Name:

Americas Gold and Silver Corporation
Principal Regulator - Ontario

Type and Date:

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

Offering Price and Description:

\$35,000,164.00 - 9,067,400 Common Shares at a price of
\$3.86 per Common Share

Underwriter(s) or Distributor(s):

DESJARDINSSECURITIESINC.
CORMARKSECURITIESINC.
CLARUS SECURITIES INC.
STIFEL NICOLAUS CANADA INC.
LAURENTIAN BANK SECURITIES INC.

Promoter(s):

-

Project #3098513

Issuer Name:

Caldas Gold Corp. (formerly Bluenose Gold Corp.)
Principal Regulator - Ontario

Type and Date:

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

Offering Price and Description:

22,222,222 Units Issuable upon Exercise of 22,222,222
Special Warrants

Underwriter(s) or Distributor(s):

SCOTIA CAPITAL INC.
CANACCORD GENUITY CORP.
STIFEL NICOLAUS CANADA INC.
RED CLOUD SECURITIES INC.

Promoter(s):

GRAN COLOMBIA GOLD CORP.

Project #3098638

Issuer Name:

Canadian Imperial Bank of Commerce
Principal Regulator - Ontario

Type and Date:

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

Offering Price and Description:

\$10,000,000,000.00
Debt Securities (unsubordinated indebtedness)
Debt Securities (subordinated indebtedness)

Underwriter(s) or Distributor(s):

Common Shares
Class A Preferred Shares

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3100021

Issuer Name:

Cross Border Capital I Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary CPC Prospectus dated August 24, 2020
NP 11-202 Preliminary Receipt dated August 24, 2020

Offering Price and Description:

MINIMUM OFFERING: \$260,000.00 or 2,600,000 Common
Shares

MAXIMUM OFFERING: \$300,000.00 or 3,000,000

Common Shares

PRICE: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

Haywood Securities Inc.

Promoter(s):

Yaniv Bresler

Project #3100588

Issuer Name:

Namaste Technologies Inc.
Principal Regulator - Ontario

Type and Date:

Preliminary Shelf Prospectus dated August 17, 2020
NP 11-202 Preliminary Receipt dated August 18, 2020

Offering Price and Description:

\$90,000,000.00 - Common Shares Preferred Shares Debt
Securities Subscription Receipts Warrants

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3098580

Issuer Name:

Stowe One Investments Corp.
Principal Regulator - Ontario

Type and Date:

Preliminary Long Form Prospectus dated August 14, 2020
NP 11-202 Preliminary Receipt dated August 18, 2020

Offering Price and Description:

No securities are being offered pursuant to this prospectus.

Underwriter(s) or Distributor(s):

-

Promoter(s):

Raymond Pomroy
Project #3097889

Issuer Name:

Boralex Inc.
Principal Regulator - Quebec

Type and Date:

Final Short Form Prospectus dated August 21, 2020
NP 11-202 Receipt dated August 21, 2020

Offering Price and Description:

\$175,032,800.00 - 5,288,000 Common Shares
Price: \$33.10 per Common Share

Underwriter(s) or Distributor(s):

NATIONAL BANK FINANCIAL INC.
CIBC WORLD MARKETS INC.
RBC DOMINION SECURITIES INC.
TD SECURITIES INC.
DESJARDINS SECURITIES INC.
BMO NESBITT BURNS INC.
INDUSTRIAL ALLIANCE SECURITIES INC.
RAYMOND JAMES LTD.
SCOTIA CAPITAL INC.

Promoter(s):

-

Project #3095345

Issuer Name:

Docebo Inc.
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated August 24, 2020
NP 11-202 Receipt dated August 24, 2020

Offering Price and Description:

\$75,000,000.00 - 1,500,000 Common Shares
Price: \$50.00 per Common Share

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
TD SECURITIES INC.
MORGAN STANLEY CANADA LIMITED
GOLDMAN SACHS CANADA INC.
SCOTIA CAPITAL INC.
NATIONAL BANK FINANCIAL INC.
CIBC WORLD MARKETS INC.
CORMARK SECURITIES INC.
EIGHT CAPITAL

Promoter(s):

-

Project #3095532

Issuer Name:

FIRSTSERVICE CORPORATION
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated August 20, 2020
NP 11-202 Receipt dated August 21, 2020

Offering Price and Description:

US\$235,000,000.00 - Common Shares, Subscription
Receipts, Warrants, Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3093189

Issuer Name:

Hydro One Limited
Principal Regulator - Ontario

Type and Date:

Final Shelf Prospectus dated August 20, 2020
NP 11-202 Receipt dated August 20, 2020

Offering Price and Description:

\$2,000,000,000.00 - Common Shares, Preferred Shares,
Debt Securities, Subscription Receipts, Warrants, Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3095845

Issuer Name:

Integra Resources Corp. (formerly, Mag Copper Limited)
Principal Regulator - British Columbia

Type and Date:

Final Shelf Prospectus dated August 21, 2020
NP 11-202 Receipt dated August 21, 2020

Offering Price and Description:

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

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3093239

Issuer Name:

Parkland Corporation
Principal Regulator - Alberta

Type and Date:

Final Shelf Prospectus dated August 17, 2020
NP 11-202 Receipt dated August 18, 2020

Offering Price and Description:

\$2,000,000,000.00 - Common Shares Preferred Shares
Debt Securities Subscription Receipts Convertible
Securities Warrants Units

Underwriter(s) or Distributor(s):

-

Promoter(s):

-

Project #3093820

Issuer Name:

Stormcrow Holdings Corp.
Principal Regulator - Ontario

Type and Date:

Final CPC Prospectus dated August 21, 2020
NP 11-202 Receipt dated August 24, 2020

Offering Price and Description:

Minimum of \$1,000,000.00 - 10,000,000 Common Shares
Maximum of \$2,000,000.00 - 20,000,000 Common Shares
Price: \$0.10 per Common Share

Underwriter(s) or Distributor(s):

INDUSTRIAL ALLIANCE SECURITIES INC.

Promoter(s):

-

Project #3087854

Issuer Name:

Score Media and Gaming Inc. (formerly theScore, Inc.)
Principal Regulator - Ontario

Type and Date:

Final Short Form Prospectus dated August 19, 2020
NP 11-202 Receipt dated August 19, 2020

Offering Price and Description:

\$25,025,000.00 - 38,500,000 Class A Subordinate Voting
Shares

Price: \$0.65 per Class A Share

Underwriter(s) or Distributor(s):

CANACCORD GENUITY CORP.
EIGHT CAPITAL
CORMARK SECURITIES INC.
INFOR FINANCIAL INC.
SCOTIA CAPITAL INC.

Promoter(s):

-

Project #3093452

Issuer Name:

Spartan Acquisition Corp.
Principal Regulator - British Columbia

Type and Date:

Amendment dated August 18, 2020 to Final CPC
Prospectus dated May 15, 2020
NP 11-202 Receipt dated August 19, 2020

Offering Price and Description:

MINIMUM OFFERING: \$400,000.00 or 2,000,000 Common
Shares

MAXIMUM OFFERING: \$800,000.00 or 4,000,000

Common Shares

Price: \$0.20 per Common Share

Underwriter(s) or Distributor(s):

Haywood Securities Inc.

Promoter(s):

-

Project #3023787

Chapter 12

Registrations

12.1.1 Registrants

Type	Company	Category of Registration	Effective Date
Name Change	From: OneSixtyTwo Capital Inc. To: Triumph Asset Management Inc.	Investment Fund Manager, Exempt Market Dealer and Portfolio Manager	August 6, 2020
Name Change	From: Alignvest Investment Management Corporation To: NorthPoint Investment Partners Limited	Commodity Trading Manager, Investment Fund Manager and Portfolio Manager	July 28, 2020
New Registration	DMAT Capital Management Inc.	Commodity Trading Manager, Exempt Market Dealer, Investment Fund Manager and Portfolio Manager	August 20, 2020
Voluntary Surrender	Disintermediate Technologies Inc.	Exempt Market Dealer	August 19, 2020
Voluntary Surrender	Kimelman & Baird, LLC	Portfolio Manager	August 20, 2020
New Registration	3L Capital Inc.	Exempt Market Dealer	August 24, 2020

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Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 Investment Industry Regulatory Organization of Canada (IIROC) – IIROC IP – Notice of Commission Order

IIROC IP

NOTICE OF COMMISSION ORDER

On August 24, 2020, the Commission made an order under section 21.2.3 of the *Securities Act* (Ontario) designating the Investment Industry Regulatory Organization of Canada as the information processor for Unlisted Debt Securities.

The designation order constitutes the final step in the implementation of the government debt transparency framework and expanded corporate debt transparency framework (see CSA Notice of Approval Mandatory Post-Trade Transparency of Trades in Government Debt Securities and Expanded Transparency of Trades in Corporate Debt Securities and Amendments to National Instrument 21-101 *Marketplace Operation* and Related Companion Policy, published on June 4, 2020).

13.1.2 Investment Industry Regulatory Organization of Canada (IIROC) – Amendments to Notes and Instructions to Schedules 1 and 7 of Form 1 Regarding Agency Tri-Party Arrangements – Notice of Commission Approval

NOTICE OF COMMISSION APPROVAL

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

**AMENDMENTS TO NOTES AND INSTRUCTIONS TO
SCHEDULES 1 AND 7 OF FORM 1 REGARDING AGENCY TRI-PARTY ARRANGEMENTS**

The Ontario Securities Commission has approved IIROC's proposed amendments to Notes and Instructions to Schedules 1 and 7 of Form 1 regarding the margin requirements for certain agency tri-party arrangements (the Amendments).

IIROC published the proposed amendments for comment on February 21, 2019 and no public comments were received. A copy of the IIROC Notice, including text of the Amendments, can be found at <http://www.osc.gov.on.ca>.

The Amendments will be effective on September 1, 2020 or as otherwise determined by IIROC.

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 have approved or not objected to the Amendments.

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