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Issuer name	Default date	Filing type	Default code	CTO	Management CTO
1020647 B.C. Ltd.	2016-11-02	Q3	3	No	No
1020647 B.C. Ltd.	2015-11-02	Q3	3	No	No
1020650 B.C. Ltd.	2015-11-02	Q3	3	No	No
Acorn Energy, Inc.	2016-11-16	Q3	1b.,1c.,1e.,3	No	No
Acorn Energy, Inc.	2016-08-16	Q2	1b.,1c.,1e.,3	No	No
Acorn Energy, Inc.	2016-05-18	Q1	1b.,1c.,1e.,3	No	No
Acorn Energy, Inc.	2016-04-29	A	1a.,1c.,1e.,3	No	No
Acorn Energy, Inc.	2016-04-29	AIF	1d.,3	No	No
Advanced Environmental Petroleum Producers, Inc.	2016-07-11	A	4	No	No
Aintree Resources Inc.	2016-03-01	OT	1m.,1n.,4	No	No
Aldever Resources Inc.	2016-07-20	OT	2d.	No	No
All-Canadian Compound Fund	2016-08-30	Q2	1b.,1c.,3	No	No
All-Canadian Compound Fund	2016-04-04	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2016-04-04	AIF	1d.	No	No
All-Canadian Compound Fund	2015-09-01	Q2	1b.,1c.,3	No	No
All-Canadian Compound Fund	2015-04-01	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2015-04-01	AIF	1d.	No	No
All-Canadian Compound Fund	2014-09-04	Q2	1b.,1c.,3	No	No
All-Canadian Compound Fund	2014-04-02	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2014-04-02	AIF	1d.	No	No
All-Canadian Compound Fund	2013-09-04	Q2	1b.,1c.,3	No	No
All-Canadian Compound Fund	2013-04-04	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2013-04-04	AIF	1d.	No	No
All-Canadian Compound Fund	2012-09-04	Q2	1b.,1c.,3	No	No
All-Canadian Compound Fund	2012-04-04	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2012-04-04	AIF	1d.	No	No
All-Canadian Compound Fund	2011-09-01	Q2	1b.,1c.,3	No	No

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All-Canadian Compound Fund	2011-04-04	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2011-04-04	AIF	1d.	No	No
All-Canadian Compound Fund	2010-09-01	Q2	1b.,1c.,3	No	No
All-Canadian Compound Fund	2010-04-07	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2010-04-07	AIF	1d.,3	No	No
All-Canadian Compound Fund	2009-09-08	Q2	1b.,1c.,3	No	No
All-Canadian Compound Fund	2009-03-31	A	1a.,1c.,3	No	No
All-Canadian Compound Fund	2009-03-31	AIF	1d.,3	No	No
All-Canadian Compound Fund	2008-09-03	Q2	A,B,C	No	No
All-Canadian Compound Fund	2008-04-02	A	A,B,C	No	No
All-Canadian Compound Fund	2008-04-02	AIF	B,C	No	No
All-Canadian Compound Fund	2007-09-05	Q2	A,B,C	No	No
All-Canadian Compound Fund	2007-04-25	AIF	B,C	No	No
Altair Nanotechnologies Inc.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2016-05-04	A	1a.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2015-12-02	Q3	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2015-09-01	Q2	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2015-06-02	Q1	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2015-05-04	A	1a.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2014-12-04	Q3	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2014-08-18	Q2	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2014-05-16	Q1	1b.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2014-04-02	A	1a.,1c.,1e.,3	No	No
Altair Nanotechnologies Inc.	2014-04-02	AIF	1d.,3	No	No
Arctic Glacier Income Fund	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2016-08-30	Q2	1b.,1c.,1e.,3	No	No

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Arctic Glacier Income Fund	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2016-05-04	A	1a.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2015-12-02	Q3	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2015-09-01	Q2	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2015-06-02	Q1	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2015-05-04	A	1a.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2014-12-04	Q3	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2014-09-04	Q2	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2014-06-04	Q1	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2014-05-05	A	1a.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2013-12-03	Q3	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2013-09-04	Q2	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2013-06-03	Q1	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2013-05-03	A	1a.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2012-12-03	Q3	1b.,1c.,1e.,3	No	No
Arctic Glacier Income Fund	2012-09-04	Q2	1b.,1c.,1e.,3	No	No
Argent Energy Trust	2016-11-16	Q3	1b.,1c.,1e.,3	No	No
Argent Energy Trust	2016-08-16	Q2	1b.,1c.,1e.,3	No	No
Argent Energy Trust	2016-05-18	Q1	1b.,1c.,1e.,3	No	No
Argent Energy Trust	2016-04-12	A	1a.,1c.,1e.,3	No	No
Argent Energy Trust	2016-04-12	AIF	1d.,3	No	No
Artventive Medical Group, Inc.	2016-05-04	A	4	No	No
Atna Resources Ltd.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Atna Resources Ltd.	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Atna Resources Ltd.	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Atna Resources Ltd.	2016-05-04	A	1a.,1c.,1e.,3	No	No
Bearing Resources Ltd.	2017-02-23	OT	1k.	No	No
Birch Mountain Resources Ltd.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No

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Birch Mountain Resources Ltd.	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2016-05-04	A	1a.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2015-12-02	Q3	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2015-09-01	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2015-06-02	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2015-05-04	A	1a.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2014-12-04	Q3	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2014-09-04	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2014-06-04	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2014-05-05	A	1a.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2013-12-03	Q3	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2013-09-04	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2013-06-03	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2013-05-03	A	1a.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2012-12-03	Q3	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2012-09-04	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2012-06-04	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2012-05-04	A	1a.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2011-12-01	Q3	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2011-09-01	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2011-07-05	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2011-05-04	A	1a.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2010-12-01	Q3	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2010-08-16	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2010-05-18	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2010-04-07	AIF	1d.,3	No	No
Birch Mountain Resources Ltd.	2010-04-07	A	1a.,1c.,1e.,3	No	No

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Birch Mountain Resources Ltd.	2009-11-17	Q3	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2009-08-17	Q2	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2009-05-20	Q1	1b.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2009-03-31	A	1a.,1c.,1e.,3	No	No
Birch Mountain Resources Ltd.	2009-03-31	AIF	1d.,3	No	No
Birch Mountain Resources Ltd.	2008-11-19	Q3	A,B,C	No	No
Blue River Resources Ltd.	2017-02-09	OT	1k.,2d.	No	No
British Controlled Oilfields Ltd.	2016-08-30	Q2	1b.,1c.,3	No	No
British Controlled Oilfields Ltd.	2016-04-05	A	1c.	No	No
British Controlled Oilfields Ltd.	2016-04-05	AIF	1d.	No	No
Candelaria Mining Corp.	2016-11-21	OT	2d.	No	No
Canyon Creek Food Company Ltd.	2010-10-04	A	3	No	No
Canyon Creek Food Company Ltd.	2010-02-02	Q2	3	No	No
Carlyle Entertainment Ltd.	2016-08-30	Q2	3	No	No
CDN BVentures Ltd.	2017-03-02	Q1	1b.,1c.,1e.,3	No	No
CDN BVentures Ltd.	2017-02-01	A	1a.,1c.,1e.,3	No	No
CDN BVentures Ltd.	2016-08-30	Q3	1b.,1c.,1e.,3	No	No
CDN BVentures Ltd.	2016-06-02	Q2	1b.,1c.,1e.,3	No	No
CDN BVentures Ltd.	2016-03-02	Q1	1b.,1c.,1e.,3	No	No
CDN BVentures Ltd.	2016-02-01	A	1a.,1c.,1e.,3	No	No
CDN WCorp Holdings Ltd.	2017-03-02	Q1	1b.,1c.,1e.,3	No	No
CDN WCorp Holdings Ltd.	2017-02-01	A	1a.,1c.,1e.,3	No	No
CDN WCorp Holdings Ltd.	2016-08-30	Q3	1b.,1c.,1e.,3	No	No
CDN WCorp Holdings Ltd.	2016-06-02	Q2	1b.,1c.,1e.,3	No	No
CDN WCorp Holdings Ltd.	2016-03-02	Q1	1b.,1c.,1e.,3	No	No
CDN WCorp Holdings Ltd.	2016-02-01	A	1a.,1c.,1e.,3	No	No
Central Iron Ore Limited	2016-11-04	A	4	No	No
Central Iron Ore Limited	2015-11-04	A	4	No	No

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Chicago Newspaper Liquidation Corp.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2016-05-04	A	1a.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2015-12-02	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2015-09-01	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2015-06-02	Q1	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2015-05-04	A	1a.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2015-04-01	AIF	1d.,3	No	No
Chicago Newspaper Liquidation Corp.	2014-11-18	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2014-08-18	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2014-05-16	Q1	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2014-04-02	A	1a.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2014-04-02	AIF	1d.,3	No	No
Chicago Newspaper Liquidation Corp.	2013-11-19	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2013-08-20	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2013-05-21	Q1	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2013-04-04	AIF	1d.,3	No	No
Chicago Newspaper Liquidation Corp.	2013-04-04	A	1a.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-11-16	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-08-16	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-05-17	Q1	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-04-04	A	1a.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-04-04	AIF	1d.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-01-12	Q1	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-01-12	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-01-12	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2012-01-12	AIF	1d.,3	No	No

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Chicago Newspaper Liquidation Corp.	2012-01-12	A	1a.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2011-03-04	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2011-03-04	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2011-03-04	Q1	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2010-04-07	A	1a.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2010-04-07	AIF	1d.,3	No	No
Chicago Newspaper Liquidation Corp.	2009-11-17	Q3	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2009-08-17	Q2	1b.,1c.,1e.,3	No	No
Chicago Newspaper Liquidation Corp.	2009-05-22	Q1	1b.,1c.,1e.,3	No	No
China Minerals Mining Corporation	2015-04-07	OT	1k.	No	No
Cyprium Mining Corporation	2016-05-04	A	3	No	No
Diamond Fields International Ltd.	2014-06-12	OT	2d.	No	No
DSG Global Inc.	2015-10-19	Q2	4	No	No
Edgewater Exploration Ltd.	2016-02-03	OT	4	No	No
Fancamp Exploration Ltd.	2016-08-19	OT	1k.,2d.	No	No
First Mexican Gold Corp.	2015-11-25	OT	2d.	No	No
Froachan Farm Acquisition Corp.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Froachan Farm Acquisition Corp.	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Gainey Capital Corp.	2016-11-15	OT	1k.	No	No
GCorp Discovery Ltd.	2017-03-02	Q1	1b.,1c.,1e.,3	No	No
GCorp Discovery Ltd.	2017-02-01	A	1a.,1c.,1e.,3	No	No
GCorp Discovery Ltd.	2016-08-30	Q3	1b.,1c.,1e.,3	No	No
GCorp Discovery Ltd.	2016-06-02	Q2	1b.,1c.,1e.,3	No	No
GCorp Discovery Ltd.	2016-03-02	Q1	1b.,1c.,1e.,3	No	No
GCorp Discovery Ltd.	2016-02-01	A	1a.,1c.,1e.,3	No	No
Great Prairie Energy Services Inc.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Great Prairie Energy Services Inc.	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Great Prairie Energy Services Inc.	2016-06-02	Q1	1b.,1c.,1e.,3	No	No

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Great Prairie Energy Services Inc.	2016-05-04	A	1a.,1c.,1e.,3	No	No
GrowthWorks Canadian Fund Ltd.	2016-12-01	A	1a.,1c.,3	No	No
GrowthWorks Canadian Fund Ltd.	2016-05-04	Q2	1b.,1c.,3	No	No
GrowthWorks Canadian Fund Ltd.	2015-12-02	A	1a.,1c.,3	No	No
GrowthWorks Canadian Fund Ltd.	2015-05-04	Q2	1b.,1c.,3	No	No
GrowthWorks Canadian Fund Ltd.	2014-12-04	A	1a.,1c.,3	No	No
GrowthWorks Canadian Fund Ltd.	2014-05-05	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2017-01-03	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2017-01-03	AIF	1d.	No	No
Heating Oil Partners Income Fund	2016-06-02	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2015-12-31	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2015-12-31	AIF	1d.	No	No
Heating Oil Partners Income Fund	2015-06-02	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2015-01-02	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2015-01-02	AIF	1d.	No	No
Heating Oil Partners Income Fund	2014-06-04	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2014-01-03	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2014-01-03	AIF	1d.	No	No
Heating Oil Partners Income Fund	2013-06-03	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2013-01-03	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2013-01-03	AIF	1d.	No	No
Heating Oil Partners Income Fund	2012-06-04	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2012-01-04	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2012-01-04	AIF	1d.	No	No
Heating Oil Partners Income Fund	2011-06-02	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2010-12-29	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2010-12-29	AIF	1d.	No	No
Heating Oil Partners Income Fund	2010-06-03	Q2	1b.,1c.,3	No	No

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Heating Oil Partners Income Fund	2009-12-31	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2009-12-31	AIF	1d.,3	No	No
Heating Oil Partners Income Fund	2009-09-18	Q2	1b.,1c.,3	No	No
Heating Oil Partners Income Fund	2009-01-07	A	1a.,1c.,3	No	No
Heating Oil Partners Income Fund	2009-01-07	AIF	1d.,3	No	No
Heating Oil Partners Income Fund	2008-06-04	Q2	A,B,C	No	No
Heating Oil Partners Income Fund	2008-01-02	A	A,B,C	No	No
Heating Oil Partners Income Fund	2008-01-02	AIF	B,C	No	No
Heating Oil Partners Income Fund	2007-06-06	Q2	A,B,C	No	No
Heating Oil Partners Income Fund	2007-01-03	A	A,B,C	No	No
Heating Oil Partners Income Fund	2007-01-03	AIF	B,C	No	No
Heating Oil Partners Income Fund	2006-05-31	Q2	A,B,C	No	No
Hollinger Inc.	2017-03-02	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2016-12-01	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2016-08-30	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2016-08-03	A	1a.,1c.,1e.,3	No	No
Hollinger Inc.	2016-03-02	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2015-12-02	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2015-09-01	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2015-07-31	A	1a.,1c.,1e.,3	No	No
Hollinger Inc.	2015-03-03	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2014-12-04	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2014-09-04	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2014-07-31	A	1a.,1c.,1e.,3	No	No
Hollinger Inc.	2014-03-05	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2013-12-03	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2013-09-04	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2013-08-01	A	1a.,1c.,1e.,3	No	No

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Hollinger Inc.	2013-03-05	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2012-12-03	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2012-09-18	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2012-08-02	A	1a.,1c.,1e.,3	No	No
Hollinger Inc.	2012-03-02	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2012-02-10	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2012-02-10	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2012-02-10	A	1a.,1c.,1e.,3	No	No
Hollinger Inc.	2011-02-15	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2010-11-15	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2010-08-16	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2010-07-29	A	1a.,1c.,1e.,3	No	No
Hollinger Inc.	2010-03-01	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2009-12-01	Q2	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2009-09-01	Q1	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2009-07-30	A	1a.,1c.,1e.,3	No	No
Hollinger Inc.	2009-02-16	Q3	1b.,1c.,1e.,3	No	No
Hollinger Inc.	2008-11-19	Q2	A,B,C	No	No
Hollinger Inc.	2008-08-20	Q1	A,B,C	No	No
Hollinger Inc.	2008-07-02	AIF	B,C	No	No
Hollinger Inc.	2008-07-02	A	A,B,C	No	No
International Mining & Infrastructure Corporation plc	2016-12-15	Q2	1b.,3	No	No
iSign Solutions Inc.	2016-04-04	A	4	No	No
iSign Solutions Inc.	2015-04-10	A	4	No	No
Juniper Income Fund	2016-08-30	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2016-04-04	A	1a.,1c.,3	No	No
Juniper Income Fund	2016-04-04	AIF	1d.	No	No

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Juniper Income Fund	2015-09-01	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2015-04-01	A	1a.,1c.,3	No	No
Juniper Income Fund	2015-04-01	AIF	1d.	No	No
Juniper Income Fund	2014-09-04	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2014-04-02	A	1a.,1c.,3	No	No
Juniper Income Fund	2014-04-02	AIF	1d.	No	No
Juniper Income Fund	2013-09-04	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2013-04-04	A	1a.,1c.,3	No	No
Juniper Income Fund	2013-04-04	AIF	1d.	No	No
Juniper Income Fund	2012-09-04	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2012-04-04	A	1a.,1c.,3	No	No
Juniper Income Fund	2012-04-04	AIF	1d.	No	No
Juniper Income Fund	2011-09-01	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2011-04-04	A	1a.,1c.,3	No	No
Juniper Income Fund	2011-04-04	AIF	1d.	No	No
Juniper Income Fund	2010-09-01	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2010-04-06	A	1a.,1c.,3	No	No
Juniper Income Fund	2010-03-31	AIF	1d.,3	No	No
Juniper Income Fund	2010-03-31	AIF	1d.,3	No	No
Juniper Income Fund	2009-09-08	Q2	1b.,1c.,3	No	No
Juniper Income Fund	2009-03-31	A	1a.,1c.,3	No	No
Juniper Income Fund	2008-09-03	Q2	A,B,C	No	No
Juniper Income Fund	2008-04-02	A	A,B,C	No	No
Juniper Income Fund	2007-09-05	Q2	A,B,C	No	No
Juniper Income Fund	2007-04-04	A	A,B,C	No	No
Juniper Income Fund	2006-08-30	Q2	A,C	No	No
Juniper Income Fund	2006-08-09	A	A,C	No	No
Lachlan Star Limited	2017-03-02	Q2	1b.,1c.,1e.,3	No	No

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Lachlan Star Limited	2016-12-01	Q1	1b.,1c.,1e.,3	No	No
Lachlan Star Limited	2016-11-01	A	1a.,1c.,1e.,3	No	No
Lachlan Star Limited	2016-06-02	Q3	1b.,1c.,1e.,3	No	No
Lachlan Star Limited	2016-03-02	Q2	1b.,1c.,1e.,3	No	No
Lachlan Star Limited	2015-12-02	Q1	1b.,1c.,1e.,3	No	No
Lachlan Star Limited	2015-11-02	A	1a.,1c.,1e.,3	No	No
Lachlan Star Limited	2015-06-02	Q3	1b.,1c.,1e.,3	No	No
Lachlan Star Limited	2015-02-25	Q2	1b.,1c.,1e.,3	No	No
Leenlife Pharma International Inc.	2016-05-04	OT	1j.	No	No
LoJack Corporation	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
LoJack Corporation	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
LoJack Corporation	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Mag One Products Inc.	2017-03-09	OT	1k.,2d.	No	No
Magnum Hunter Resources Corporation	2016-11-16	Q3	1b.,1c.,1e.,3	No	No
Magnum Hunter Resources Corporation	2016-08-16	Q2	1b.,1c.,1e.,3	No	No
Magnum Hunter Resources Corporation	2016-05-18	Q1	1b.,1c.,1e.,3	No	No
Magnum Hunter Resources Corporation	2016-04-12	A	3	No	No
Mammoth Resources Corp.	2016-06-30	Q1	3	No	No
Matrix 2013 Short Duration National Class	2016-08-30	Q2	1b.,1c.,3	No	No
Matrix 2013 Short Duration National Class	2016-04-04	AIF	1d.	No	No
Matrix 2013 Short Duration National Class	2016-04-04	A	1a.,1c.,3	No	No
Matrix 2013 Short Duration National Class	2015-09-01	Q2	1b.,1c.,3	No	No

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Matrix 2013 Short Duration National Class	2015-04-01	A	1a.,1c.,3	No	No
Matrix 2013 Short Duration National Class	2015-04-01	AIF	1d.	No	No
Matrix 2013 Short Duration National Class	2014-09-04	Q2	1b.,1c.,3	No	No
Matrix 2013 Short Duration National Class	2014-04-02	A	1a.,1c.,3	No	No
Matrix 2013 Short Duration Québec Class	2016-08-30	Q2	1b.,1c.,3	No	No
Matrix 2013 Short Duration Québec Class	2016-04-04	A	1a.,1c.,3	No	No
Matrix 2013 Short Duration Québec Class	2016-04-04	AIF	1d.	No	No
Matrix 2013 Short Duration Québec Class	2015-09-01	Q2	1b.,1c.,3	No	No
Matrix 2013 Short Duration Québec Class	2015-04-01	A	1a.,1c.,3	No	No
Matrix 2013 Short Duration Québec Class	2015-04-01	AIF	1d.	No	No
Matrix 2013 Short Duration Québec Class	2014-09-04	Q2	1b.,1c.,3	No	No
Matrix 2013 Short Duration Québec Class	2014-04-02	A	1a.,1c.,3	No	No
Midway Gold Corp.	2016-11-16	Q3	1b.,1c.,1e.,3	No	No
Midway Gold Corp.	2016-08-16	Q2	1b.,1c.,1e.,3	No	No
Midway Gold Corp.	2016-05-18	Q1	1b.,1c.,1e.,3	No	No
Midway Gold Corp.	2016-04-04	A	1a.,1c.,1e.,3	No	No
Midway Gold Corp.	2016-04-04	AIF	1d.,3	No	No
Midway Gold Corp.	2015-11-18	Q3	1b.,1c.,1e.,3	No	No
Midway Gold Corp.	2015-08-19	Q2	1b.,1c.,1e.,3	No	No

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Millenium Biologix Corporation	2017-03-02	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2016-12-01	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2016-08-30	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2016-08-03	A	1a.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2016-03-02	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2015-12-02	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2015-09-01	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2015-07-31	A	1a.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2015-03-03	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2014-12-04	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2014-09-04	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2014-07-31	A	1a.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2014-03-05	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2013-12-03	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2013-09-04	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2013-08-01	A	1a.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2013-03-05	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2012-12-03	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2012-09-04	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2012-08-02	A	1a.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2012-03-02	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2011-12-01	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2011-10-03	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2011-08-03	A	1a.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2011-03-02	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2010-12-01	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2010-09-01	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2010-07-29	A	1a.,1c.,1e.,3	No	No

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Millenium Biologix Corporation	2010-03-04	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2009-12-01	Q2	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2009-09-01	Q1	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2009-08-05	A	1a.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2009-03-02	Q3	1b.,1c.,1e.,3	No	No
Millenium Biologix Corporation	2008-12-03	Q2	A,B,C	No	No
Millenium Biologix Corporation	2008-08-20	Q1	A,B,C	No	No
Millenium Biologix Corporation	2008-07-02	A	A,B,C	No	No
Millenium Biologix Corporation	2008-03-05	Q3	A,C	No	No
Millenium Biologix Corporation	2007-12-05	Q2	A,C	No	No
Millenium Biologix Corporation	2007-09-05	Q1	A,B,C	No	No
Millenium Biologix Corporation	2007-08-01	A	A,B,C	No	No
Millenium Biologix Corporation	2006-11-15	Q2	C	No	No
Mount Real Corporation	2016-11-16	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2016-08-16	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2016-05-18	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2016-04-04	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2016-04-04	AIF	1d.,3	No	No
Mount Real Corporation	2015-11-18	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2015-08-19	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2015-05-21	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2015-04-01	AIF	1d.,3	No	No
Mount Real Corporation	2015-04-01	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2014-11-18	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2014-08-18	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2014-05-16	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2014-04-02	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2014-04-02	AIF	1d.,3	No	No

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Mount Real Corporation	2013-11-19	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2013-08-20	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2013-05-21	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2013-04-04	AIF	1d.,3	No	No
Mount Real Corporation	2013-04-04	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2012-11-16	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2012-08-16	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2012-05-17	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2012-04-04	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2012-04-04	AIF	1d.,3	No	No
Mount Real Corporation	2011-11-16	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2011-08-16	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2011-06-17	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2011-04-04	AIF	1d.,3	No	No
Mount Real Corporation	2011-04-04	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2010-11-15	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2010-08-17	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2010-05-18	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2010-04-07	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2010-04-07	AIF	1d.,3	No	No
Mount Real Corporation	2009-11-17	Q3	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2009-08-17	Q2	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2009-05-20	Q1	1b.,1c.,1e.,3	No	No
Mount Real Corporation	2009-03-31	AIF	1d.,3	No	No
Mount Real Corporation	2009-03-31	A	1a.,1c.,1e.,3	No	No
Mount Real Corporation	2008-11-19	Q3	A,B,C	No	No
Mount Real Corporation	2008-08-20	Q2	A,B,C	No	No
Mount Real Corporation	2008-05-21	Q1	A,B,C	No	No

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Mount Real Corporation	2008-04-02	A	A,B,C	No	No
Mount Real Corporation	2008-04-02	AIF	B,C	No	No
Mount Real Corporation	2007-11-21	Q3	A,B,C	No	No
Mount Real Corporation	2007-08-22	Q2	A,B,C	No	No
Mount Real Corporation	2007-05-16	Q1	A,B,C	No	No
Mount Real Corporation	2007-04-04	AIF	B,C	No	No
Mount Real Corporation	2007-04-04	A	A,B,C	No	No
Mount Real Corporation	2006-11-15	Q3	A,B,C	No	No
Mount Real Corporation	2006-08-16	Q2	A,B,C	No	No
Mount Real Corporation	2006-05-17	Q1	A,B,C	No	No
Mount Real Corporation	2006-04-12	A	A,B,C	No	No
Mount Real Corporation	2006-04-12	AIF	B,C	No	No
Mount Real Corporation	2005-11-16	Q3	A,B,C	No	No
Newlox Gold Ventures Corp.	2017-01-13	Q2	2a.	No	No
Nickel One Resources Inc.	2017-03-06	OT	1k.,2d.	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2016-05-04	A	1a.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2015-12-02	Q3	1b.,1c.,1e.,3	No	No

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Nortel Networks Corporation/Corporation Nortel Networks	2015-09-01	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2015-06-02	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2015-05-04	A	1a.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2014-12-04	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2014-09-04	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2014-06-04	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2014-05-05	A	1a.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2013-12-03	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2013-09-04	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2013-06-03	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Corporation/Corporation Nortel Networks	2013-05-03	A	1a.,1c.,1e.,3	No	No

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Nortel Networks Corporation/Corporation Nortel Networks	2012-12-03	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2016-08-30	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2016-05-04	A	1a.,1c.,1e.,3	No	No
Nortel Networks Limited	2015-12-02	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2015-09-01	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2015-06-02	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2015-05-04	A	1a.,1c.,1e.,3	No	No
Nortel Networks Limited	2014-12-04	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2014-09-04	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2014-06-04	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2014-05-05	A	1a.,1c.,1e.,3	No	No
Nortel Networks Limited	2013-12-03	Q3	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2013-09-04	Q2	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2013-06-03	Q1	1b.,1c.,1e.,3	No	No
Nortel Networks Limited	2013-05-03	A	1a.,1c.,1e.,3	No	No
Nortel Networks Limited	2012-12-03	Q3	1b.,1c.,1e.,3	No	No
North American Tungsten Corporation Ltd.	2017-03-02	Q1	1b.,1c.,1e.,3	No	No
North American Tungsten Corporation Ltd.	2017-02-01	A	1a.,1c.,1e.,3	No	No
North American Tungsten Corporation Ltd.	2016-08-30	Q3	1b.,1c.,1e.,3	No	No
North American Tungsten Corporation Ltd.	2016-06-02	Q2	1b.,1c.,1e.,3	No	No
North American Tungsten Corporation Ltd.	2016-03-02	Q1	1b.,1c.,1e.,3	No	No

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North American Tungsten Corporation Ltd.	2016-02-01	A	1a.,1c.,1e.,3	No	No
Old PSG Wind-down Ltd.	2017-02-06	Q2	1b.,1c.,1e.,3	No	No
Old PSG Wind-down Ltd.	2016-10-18	Q1	1b.,1c.,1e.,3	No	No
Old PSG Wind-down Ltd.	2016-08-30	A	1a.,1c.,1e.,3	No	No
Old PSG Wind-down Ltd.	2016-08-30	AIF	1d.,3	No	No
ONE Financial All-Weather Profit Canada Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Canada Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Canada Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Canada Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Canada Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Canada Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Canada Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Canada Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Canada Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Canada Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Commodities Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Commodities Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Commodities Fund	2016-05-04	Q2	1b.,1c.,3	No	No

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ONE Financial All-Weather Profit Commodities Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Commodities Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Commodities Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Commodities Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Commodities Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Commodities Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Commodities Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2015-05-04	Q2	1b.,1c.,3	No	No

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ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Conservative Growth 2022 Protected Portfolio	2013-12-03	AIF	1d.	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Emerging Markets Fund	2014-05-05	Q2	1b.,1c.,3	No	No

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ONE Financial All-Weather Profit Emerging Markets Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Europe & Asia Fund	2013-12-03	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2015-12-02	A	1a.,1c.,3	No	No

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Issuer name	Default date	Filing type	Default code	CTO	Management CTO
ONE Financial All-Weather Profit Global Diversified Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Fund	2013-12-03	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Global Diversified Growth Fund	2014-05-05	Q2	1b.,1c.,3	No	No

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Issuer name	Default date	Filing type	Default code	CTO	Management CTO
ONE Financial All-Weather Profit Global Diversified Growth Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Growth & Income Balanced Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2016-05-04	Q2	1b.,1c.,3	No	No

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Issuer name	Default date	Filing type	Default code	CTO	Management CTO
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly ROC Income 2022 Protected Portfolio	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2015-05-04	Q2	1b.,1c.,3	No	No

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Issuer name	Default date	Filing type	Default code	CTO	Management CTO
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Monthly Tax-Efficient Bond Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2016-12-01	AIF	1d.	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit Tax-Efficient Short-term Savings Fund	2013-12-03	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit U.S. Fund	2016-12-01	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit U.S. Fund	2016-12-01	AIF	1d.	No	No

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ONE Financial All-Weather Profit U.S. Fund	2016-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit U.S. Fund	2015-12-02	AIF	1d.	No	No
ONE Financial All-Weather Profit U.S. Fund	2015-12-02	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit U.S. Fund	2015-05-04	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit U.S. Fund	2014-12-04	A	1a.,1c.,3	No	No
ONE Financial All-Weather Profit U.S. Fund	2014-12-04	AIF	1d.	No	No
ONE Financial All-Weather Profit U.S. Fund	2014-05-05	Q2	1b.,1c.,3	No	No
ONE Financial All-Weather Profit U.S. Fund	2013-12-03	A	1a.,1c.,3	No	No
Petromin Resources Ltd.	2017-03-02	Q1	1b.,1c.,1e.,3	No	Yes
Petromin Resources Ltd.	2017-01-31	A	1a.,1c.,1e.,3	No	Yes
REGI U.S., Inc.	2016-04-04	Q3	3	No	No
Resource Capital Gold Corp.	2017-03-28	OT	1k.,2d.	No	No
Rheingold Exploration Corp.	2016-06-13	A	4	No	No
Rheingold Exploration Corp.	2016-03-01	OT	1m.,1n.,4	No	No
Rizal Resources Corporation	2017-01-18	OT	1k.,2d.	No	No
RM Tracking Canada Ltd.	2017-01-10	Q1	1c.	No	No
RM Tracking Canada Ltd.	2017-01-10	Q2	1c.	No	No
SEBCorp Technology Ltd.	2017-03-02	Q1	1b.,1c.,1e.,3	No	No
SEBCorp Technology Ltd.	2017-02-01	A	1a.,1c.,1e.,3	No	No
Silk Road Finance Inc.	2016-12-13	Q3	2c.	No	No
Strateco Resources Inc.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Strateco Resources Inc.	2016-08-30	Q2	1b.,1c.,1e.,3	No	No

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Strateco Resources Inc.	2016-06-02	Q1	1b.,1c.,1e.,3	No	No
Strateco Resources Inc.	2016-05-04	A	1a.,1c.,1e.,3	No	No
Strateco Resources Inc.	2015-12-02	Q3	1b.,1c.,1e.,3	No	No
Strateco Resources Inc.	2015-09-01	Q2	1b.,1c.,1e.,3	No	No
Transatlantic Mining Corp.	2017-03-23	OT	2d.	No	No
Tuscany Energy Ltd.	2016-12-01	Q3	1b.,1c.,1e.,3	No	No
Tuscany Energy Ltd.	2016-09-22	Q2	1b.,1c.,1e.,3	No	No
Vodis Pharmaceuticals Inc.	2017-01-11	Q2	2a.,2c.	No	No
Walter Energy, Inc.	2016-11-16	Q3	1b.,1c.,1e.,3	No	No
Walter Energy, Inc.	2016-08-16	Q2	1b.,1c.,1e.,3	No	No
Walter Energy, Inc.	2016-05-18	Q1	1b.,1c.,1e.,3	No	No
Walter Energy, Inc.	2016-04-04	A	1a.,1c.,1e.,3	No	No
Walter Energy, Inc.	2016-04-04	AIF	1d.,3	No	No
War Eagle Mining Company Inc.	2014-10-30	OT	1k.,2d.	No	No
Worldwide Resources Corp.	2015-02-24	OT	1k.,2d.	No	No