

# List of IROC Dealer Members by Peer Group

## 1 INTEGRATED

BMO Nesbitt Burns Inc.\*  
 Canaccord Genuity Corp.\*  
 CIBC World Markets Inc.\*  
 Desjardins Securities Inc.\*  
 DWM Securities Inc.\*  
 Laurentian Bank Securities Inc.\*  
 National Bank Financial Inc.\*  
 RBC Dominion Securities Inc.\*  
 Scotia Capital Inc.\*  
 TD Securities Inc.\*  
 TD Waterhouse Canada Inc.

## 2 RETAIL

Assante Capital Management Ltd.\*  
 ATB Securities Inc.  
 Beacon Securities Limited\*  
 CIBC Investor Services Inc.  
 Credential Securities Inc.  
 D&D Securities Inc.\*  
 e3m Investments Inc.\*  
 Edward Jones\*  
 Emerging Equities Inc.\*  
 Fidelity Clearing Canada ULC\*  
 FIN-XO Securities Inc.\*  
 First Financial Securities Inc.  
 Friedberg Mercantile Group Ltd.\*  
 Global Maxfin Capital Inc.\*  
 Global Securities Corporation\*  
 Haywood Securities Inc.\*  
 HSBC Securities (Canada) Inc.\*  
 Industrial Alliance Securities Inc.\*  
 Investors Group Securities Inc.  
 IPC Securities Corporation\*

Jones, Gable & Company Limited\*  
 Jordan Capital Markets Inc.\*  
 Leede Financial Markets Inc.\*  
 Lombard Odier Darier Hentsch Securities (Canada) Inc.  
 M.R.S. Securities Services Inc.  
 MacDougall, MacDougall & MacTier Inc.\*  
 Mackie Research Capital Corporation\*  
 Macquarie Private Wealth Inc.\*  
 Manulife Securities Incorporated\*  
 MD Management Limited  
 MF Global Canada Co.\*  
 NBCN Inc.\*  
 OANDA (Canada) Corporation ULC  
 Odium Brown Limited\*  
 PEAK Securities Inc.  
 Penson Financial Services Canada Inc.\*  
 Peregrine Financial Group Canada, Inc.  
 PI Financial Corp.\*  
 R.J. O'Brien & Associates Canada Inc.  
 Raymond James Ltd.\*  
 Renaissance Capital Inc.  
 Union Securities Ltd.\*  
 Wellington West Capital Inc.\*  
 Wolverton Securities Ltd.\*  
 Worldsource Securities Inc.  
 yourCFO Advisory Group Inc.

## 3 RETAIL - TYPE 1 & 2 INTRODUCERS

ALL Group Financial Services Inc.  
 Altus Securities Inc.\*  
 Argosy Securities Inc.  
 Barret Capital Management Inc.  
 Brant Securities Limited\*  
 Burgeonvest Bick Securities Limited\*  
 CG&B Investment Services Inc.  
 Citadel Securities Inc.  
 CPA Securities Inc.  
 CWM Capital Inc.  
 Euro Pacific Canada Inc.  
 Foster & Associates Financial Services Inc.\*  
 Gary Bean Securities Ltd.  
 Hampton Securities Limited\*  
 Integral Wealth Securities Limited\*  
 Jory Capital Inc.\*  
 Kingsdale Capital Markets Inc.\*  
 Lakeshore Securities Inc.\*  
 MGI Securities Inc.\*  
 Money Managers Inc.  
 Northern Securities Inc.\*  
 OMG Wealth Management Inc.  
 Perry Securities Ltd.  
 Pollitt & Co. Inc.\*

Pope & Company Limited\*  
 Portfolio Strategies Securities Inc.\*  
 Portland Private Wealth Services Inc.  
 PWM Capital  
 Queensbury Securities Inc.  
 Retire First Ltd.  
 Richardson GMP Limited  
 Rogers Group Investment Advisors Ltd.  
 Rothenberg Capital Management Inc.  
 Secutor Capital Management Corporation  
 Sherbrooke Street Capital (SSC) Inc.  
 Sora Group Wealth Advisors Inc.  
 StephenAvenue Securities Inc.  
 Woodstone Capital Inc.\*

## 4 MANAGED ACCOUNTS

Acker Finlay Inc.\*  
 Caldwell Securities Ltd.\*  
 Cumberland Private Wealth Management Inc.  
 Dubeau Capital & Cie Ltée  
 Goodwood Inc.  
 JC Clark Ltd.\*  
 K.J. Harrison & Partners Inc.  
 Kernaghan Securities Ltd.  
 Kingwest & Company\*  
 McLean & Partners Wealth Management Ltd.  
 Mirabaud Canada Inc.  
 Professionals' Financial – Private Management Inc.  
 PWL Capital Inc.  
 Sandstone Asset Management Inc.  
 Sprott Private Wealth LP  
 Stuart Investment Management Limited  
 Trapeze Capital Corp.\*  
 Watt Carmichael Inc.

## 5 DISCOUNT BROKERS (SUITABILITY-EXEMPT)

AGF Securities (Canada) Limited  
 BMO InvestorLine Inc.  
 Canadian ShareOwner Investments Inc.  
 CMC Markets Canada Inc.  
 Interactive Brokers Canada Inc.\*  
 JitneyTrade Inc.\*  
 National Bank Direct Brokerage Inc.\*  
 optionsXpress Canada Corp.  
 Qtrade Securities Inc.\*  
 Questrade, Inc.\*  
 RBC Direct Investing Inc.

## 6 INSTITUTIONAL

Acumen Capital Finance Partners Limited\*  
 AltaCorp Capital Inc.\*  
 Barclays Capital Canada Inc.\*

### LEGEND

#### 1 INTEGRATED

NATIONAL FIRM ENGAGED IN PROPRIETARY TRADING, RETAIL AND INSTITUTIONAL BUSINESS, CORPORATE FINANCE AND RESEARCH ACTIVITIES.

#### 2 RETAIL

PREDOMINATELY SERVICING INDIVIDUAL RETAIL CLIENTS.

#### 3 RETAIL - TYPE 1 & 2 INTRODUCERS

#### 4 MANAGED ACCOUNTS

#### 5 DISCOUNT BROKERS (SUITABILITY-EXEMPT)

#### 6 INSTITUTIONAL

#### 7 CORPORATE FINANCE

PREDOMINATELY ENGAGED IN THE DISTRIBUTION OF SECURITIES AND RESEARCH

#### 8 ALTERNATIVE TRADING SYSTEMS (ATS)

#### 9 PROPRIETARY TRADING / OTHER

\* PARTICIPANT

# List of IIROC Dealer Members by Peer Group

CONT.

BBS Securities Inc.\*  
BNP Paribas (Canada) Securities Inc.  
Brockhouse & Cooper Inc.\*  
Byron Capital Markets Ltd.\*  
Cantor Fitzgerald Canada Corporation\*  
Casgrain & Company Limited  
Clarus Securities Inc.\*  
Commission Direct Inc.\*  
Cormark Securities Inc.\*  
Credit Suisse Securities (Canada), Inc.\*  
CTI Capital Securities Inc.\*  
Deutsche Bank Securities Limited\*  
Dundee Securities Ltd.\*  
FirstEnergy Capital Corp.\*  
Fort House Inc.  
GMP Securities L.P.\*  
Goldman Sachs Canada Inc.\*  
Instinet Canada Limited\*  
ITG Canada Corp.\*  
J.P. Morgan Securities Canada Inc.\*  
Jennings Capital Inc.\*  
JonesTrading Canada Inc.\*  
Lightyear Capital Inc.\*  
Loewen, Ondaatje, McCutcheon Limited\*  
Macquarie Capital Markets Canada Ltd.\*  
Magna Partners Ltd.\*  
Maison Placements Canada Inc.\*  
Merlin Canada Ltd.\*  
Merrill Lynch Canada Inc.\*  
Morgan Stanley Canada Limited\*  
Newedge Canada Inc.\*  
Ocean Securities Inc.  
Octagon Capital Corporation\*  
Paradigm Capital Inc.\*  
Pershing Securities Canada Limited  
Peters & Co. Limited\*  
Pictet Canada L.P.\*  
Polar Securities Inc.  
Salman Partners Inc.\*  
SCM Securities LP  
Société Générale Securities Inc.  
State Street Global Markets Canada Inc.\*  
Stifel Nicolaus Canada Inc.\*  
Stonecap Securities Inc.\*  
Toll Cross Securities Inc.\*  
Tuscarora Capital Inc.  
UBS Securities Canada Inc.\*  
Wellington West Capital Markets Inc.\*

## 7 CORPORATE FINANCE

Brookfield Financial Corp.  
Casimir Capital Ltd.\*  
First Leaside Securities Inc.  
Fraser Mackenzie Limited\*  
Jacob Securities Inc.\*  
M Partners Inc.\*  
Middlefield Capital Corporation  
NCP Northland Capital Partners Inc.\*  
Rothschild (Canada) Securities Inc.  
Versant Partners Inc.\*

## 8 ALTERNATIVE TRADING SYSTEMS (ATS)

Bloomberg Tradebook Canada Company\*  
CanDeal.ca. Inc.\*  
Chi-X Canada ATS Limited\*  
EquiLend Canada Corp.  
Liquidnet Canada Inc.\*  
MarketAxess Canada Limited\*  
Omega Securities Inc.\*  
Perimeter Markets Inc.\*  
TriAct Canada Marketplace LP\*

## 9 PROPRIETARY TRADING / OTHER

Blackwatch Capital Corp.\*  
CIT Group Securities (Canada) Inc.  
Citigroup Global Markets Canada Inc.\*  
Independent Trading Group (ITG) Inc.\*  
Infinium Capital Corporation\*  
Louis Dreyfus Energy Canada Securities LP  
Maple Futures Corp.  
Maple Securities Canada Limited\*  
Norstar Securities LP\*  
RBS Capital Markets (Canada) Limited  
Timber Hill Canada Company\*  
W.D. Latimer Co. Limited\*

**Participant: (a) a dealer registered in accordance with securities legislation of any jurisdiction and who is: (i) a member of an Exchange (ii) a user of a QTRS, or (iii) a subscriber of an ATS; or (b) a person who has been granted trading access to a marketplace and who performs the functions of a derivatives market maker.**

**Note: Excludes any Dealer Member that submitted notice to IIROC to resign.**