



# List of IIROC Dealer Members by Peer Group

Based on March 31, 2017 Risk Trend Report

## 1 INTEGRATED

BMO Nesbitt Burns Inc.\*  
 CIBC World Markets Inc.\*  
 National Bank Financial Inc.\*  
 RBC Dominion Securities Inc.\*  
 Scotia Capital Inc.\*  
 TD Securities Inc.\*  
 TD Waterhouse Canada Inc.

## 2 RETAIL

Aligned Capital Partners Inc.  
 Arton Investments  
 Assante Capital Management Ltd.\*  
 ATB Securities Inc.  
 AURAY Capital Canada inc.  
 B2B Bank Securities Services Inc.  
 Canaccord Genuity Corp.\*  
 CIBC Investor Services Inc.  
 Credential Securities Inc.\*  
 Desjardins Securities Inc.\*  
 Dominick Inc.\*  
 Edward Jones\*  
 Emerging Equities Inc.\*  
 Fidelity Clearing Canada ULC\*  
 FIN-XO Securities Inc.  
 Financière FCL inc.  
 Fortification Capital inc.  
 Friedberg Mercantile Group Ltd.\*  
 Gestion Q.I. Capital S.E.N.C.  
 Gravitas Securities Inc.\*  
 Haywood Securities Inc.\*  
 Industrial Alliance Securities Inc.\*  
 Investors Group Securities Inc.  
 IPC Securities Corporation

Kernaghan & Partners Ltd.  
 Laurentian Bank Securities Inc.\*  
 Leede Jones Gable Inc.\*  
 Lombard Odier Securities (Canada) Inc.  
 Mackie Research Capital Corporation\*  
 Manulife Securities Incorporated\*  
 MD Management Limited  
 NBCN Inc.\*  
 Odlum Brown Limited\*  
 PEAK Securities Inc.  
 PI Financial Corp.\*  
 R.J. O'Brien & Associates Canada Inc.  
 Raymond James Ltd.\*  
 Renaissance Capital Inc.  
 Stuart Investment Management Limited  
 Worldsource Securities Inc.

## 3 RETAIL - TYPE 1 & 2 INTRODUCERS

Argosy Securities Inc.  
 Brant Securities Limited  
 Chippingham Financial Group  
 Echelon Wealth Partners Inc.\*  
 Foster & Associates Financial Services Inc.\*  
 GF Securities (Canada) Company Limited  
 Global Maxfin Capital Inc.\*  
 Hampton Securities Limited\*  
 Harbourfront Wealth Management Inc.  
 Integral Wealth Securities Limited\*  
 Kingsdale Capital Markets Inc.\*  
 Lakeshore Securities Inc.\*  
 Mandeville Private Client Inc.  
 Mawer Direct Investing Ltd.  
 OMG Wealth Management Inc.  
 OmniVita Custom Wealth Management Inc.  
 PACE Securities Corp.  
 Perron & Partners Wealth Management Corp.  
 Perry Securities Ltd.  
 Pollitt & Co. Inc.\*  
 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.  
 Sprott Private Wealth LP  
 Stephen Avenue Securities Inc.  
 Wellington-Altus Private Wealth Inc.\*

## 4 MANAGED ACCOUNTS

Acker Finley Inc.\*  
 Caldwell Securities Ltd.\*

Cumberland Private Wealth Management Inc.  
 Dubeau Capital & Cie Ltée  
 Goodwood Inc.  
 JC Clark Ltd.  
 K.J. Harrison & Partners Inc.  
 Kingwest & Company\*  
 McLean & Partners Wealth Management Ltd.  
 Mirabaud Canada Inc.  
 Professionals' Financial – Private Management Inc.  
 PWL Capital Inc.  
 Sandstone Asset Management Inc.  
 Trapeze Capital Corp.\*  
 Watt Carmichael Inc.

## 5 DISCOUNT BROKERS (SUITABILITY-EXEMPT)

AGF Securities (Canada) Limited  
 BBS Securities Inc.\*  
 BMO InvestorLine Inc.  
 Canadian ShareOwner Investments Inc.  
 CMC Markets Canada Inc.  
 GAIN Capital - FOREX.com Canada Ltd.  
 Interactive Brokers Canada Inc.\*  
 JitneyTrade Inc.\*  
 National Bank Direct Brokerage Inc.  
 OANDA (Canada) Corporation ULC  
 OTT Financial Canada Inc.  
 Qtrade Securities Inc.\*  
 Questrade, Inc.\*  
 RBC Direct Investing Inc.  
 Solium Financial Inc.

## 6 INSTITUTIONAL

Acumen Capital Finance Partners Limited\*  
 AltaCorp Capital Inc.\*  
 Barclays Capital Canada Inc.\*  
 Beacon Securities Limited\*  
 Bloomberg Tradebook Canada Company  
 BNP Paribas (Canada) Securities Inc.  
 Cantor Fitzgerald Canada Corporation\*  
 Casgrain & Company Limited  
 Citigroup Global Markets Canada Inc.\*  
 Clarus Securities Inc.\*  
 Cormark Securities Inc.\*  
 Credit Suisse Securities (Canada), Inc.\*  
 CTI Capital Securities Inc.  
 Deutsche Bank Securities Limited  
 Dundee Securities Ltd.\*  
 Eight Capital\*  
 Electronic Transaction Clearing Canada, Inc.\*  
 GMP Securities L.P.\*

### 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 IROC Dealer Members by Peer Group

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CONT.

- Goldman Sachs Canada Inc.\*
  - HSBC Securities (Canada) Inc.\*
  - Instinet Canada Limited\*
  - ITG Canada Corp.\*
  - J.P. Morgan Securities Canada Inc.\*
  - Jefferies Securities, Inc.
  - JonesTrading Canada Inc.\*
  - Macquarie Capital Markets Canada Ltd.\*
  - Merrill Lynch Canada Inc.\*
  - Morgan Stanley Canada Limited\*
  - Paradigm Capital Inc.\*
  - Pavilion Global Markets Ltd.\*
  - Pershing Securities Canada Limited\*
  - Peters & Co. Limited\*
  - Pictet Canada L.P.\*
  - Sanford C. Bernstein (Canada) Limited
  - Société Générale Capital Canada Inc.\*
  - State Street Global Markets Canada Inc.\*
  - Tuscarora Capital Inc.
  - UBS Securities Canada Inc.\*
  - Velocity Trade Capital Ltd.\*
  - Wells Fargo Securities Canada, Ltd.
- 7 CORPORATE FINANCE**
- Bloom Burton Securities Inc.
  - Brookfield Financial Securities LP
  - INFOR Financial Inc.\*
  - Lightyear Capital Inc.\*
  - M Partners Inc.\*
  - Maison Placements Canada Inc.\*
  - Middlefield Capital Corporation
  - MUFG Securities (Canada), Ltd.
  - Rabo Securities Canada, Inc.
- 8 ALTERNATIVE TRADING SYSTEMS (ATS)**
- CanDeal.ca. Inc.\*
  - EquiLend Canada Corp.\*
  - Instinet Canada Cross Limited\*
  - Liquidnet Canada Inc.\*
  - MarketAxess Canada Company\*
  - Nasdaq CXC Limited\*
  - Omega Securities Inc.\*
  - Perimeter Markets Inc.\*
  - TriAct Canada Marketplace LP\*
- 9 PROPRIETARY TRADING / OTHER**
- CIT Group Securities (Canada) Inc.
  - Citadel Securities Canada ULC\*
  - Independent Trading Group (ITG) Inc.\*
  - 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 IROC to resign.