

## List of IIROC Dealer Members by Peer Group

September 2020

### 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.  
CI Securities Inc.  
Credential Qtrade Securities Inc.\*  
Desjardins Securities Inc.\*  
Edward Jones\*  
Fidelity Clearing Canada ULC\*  
FIN-XO Securities Inc.  
Friedberg Mercantile Group Ltd.\*  
Gravitas Securities Inc.\*  
Haywood Securities Inc.\*  
Highgate Group Inc.  
Industrielle Alliance Valeurs mobilières inc. \*  
INTL FCStone Financial (Canada) Inc.  
Investors Group Securities Inc.  
IPC Securities Corporation  
JitneyTrade Inc.  
Laurentian Bank Securities Inc.\*  
Leede Jones Gable Inc.\*  
Mackie Research Capital Corporation\*  
Manulife Securities Incorporated\*  
MD Management Limited  
Odlum Brown Limited\*  
PEAK Securities Inc.  
PI Financial Corp.\*  
R.J. O'Brien & Associates Canada Inc.  
Raymond James Ltd.\*  
Renaissance Capital Inc.  
Services Financiers International Leduc inc.  
Sherbrooke Street Capital (SSC) Inc.  
Stuart Investment Management Limited  
Worldsource Securities Inc.

### 3 RETAIL - TYPE 1 & 2 INTRODUCERS

Argosy Securities Inc.  
Brant Securities Limited  
Chippingham Financial Group  
Creation Wealth Capital Inc.  
Echelon Wealth Partners Inc.\*  
Foster & Associates Financial Services Inc.  
GF Securities (Canada) Company Limited  
Hampton Securities Limited\*  
Harbourfront Wealth Management Inc.  
Integral Wealth Securities Limited\*  
Kernaghan & Partners Ltd.  
Lakeshore Securities Inc.  
Mandeville Private Client Inc.  
Mawer Direct Investing Ltd.  
Nour Private Wealth Inc.  
OMG Wealth Management Inc.  
OmniVita Custom Wealth Management Inc.  
Perry Securities Ltd.  
Pollitt & Co. Inc.\*  
Queensbury Securities Inc.  
Regent Capital Partners Inc.  
Retire First Ltd.  
RGF Wealth Management Ltd.  
Richardson GMP Limited  
Rothenberg Capital Management Inc.  
Secutor Capital Management Corporation  
Sightline Wealth Management LP  
Sprout Capital Partners LP  
StephenAvenue Securities Inc.  
Wellington-Altus Private Wealth Inc.\*

### 4 MANAGED ACCOUNTS

Acker Finley Inc.\*  
Caldwell Securities Ltd.\*  
Cumberland Private Wealth Management Inc.  
CWB McLean & Partners Wealth Management Ltd.  
Dubeau Capital & Cie Ltée  
Generation IACP Inc.\*  
Goodwood Inc.  
JC Clark Ltd.  
K.J. Harrison & Partners Inc.  
Kingwest & Company\*  
Mirabaud Canada Inc.  
Professionals' Financial - Private Management Inc.  
PWL Capital Inc.  
Sandstone Asset Management Inc.  
Watt Carmichael Inc.

### 5 ORDER EXECUTION ONLY

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

### 6 INSTITUTIONAL

Acumen Capital Finance Partners Limited\*  
ATB Capital Markets Inc.\*  
Barclays Capital Canada Inc.\*  
Beacon Securities Limited\*  
Bloomberg Tradebook Canada Company (Inactive)  
BNP Paribas (Canada) Valeurs mobilières 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  
Eight Capital\*  
Goldman Sachs Canada Inc.\*  
HSBC Securities (Canada) Inc.\*  
Instinet Canada Limited \*  
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\*  
MUFG Securities (Canada), Ltd.  
Paradigm Capital Inc.\*  
Pavilion Global Markets Ltd.\*  
Pershing Securities Canada Limited\*  
Peters & Co. Limited\*  
Pictet Canada L.P.\*

## List of IIROC Dealer Members by Peer Group (Cont'd)

September 2020

### 6 INSTITUTIONAL (cont'd)

RF Securities Clearing LP\*  
Roth Canada, ULC  
Sanford C. Bernstein (Canada) Limited  
Société Générale Capital Canada Inc.\*  
State Street Global Markets Canada Inc.\*  
Stifel Nicolaus Canada Inc.\*  
Tudor, Pickering, Holt & Co. Securities - Canada, ULC  
UBS Securities Canada Inc.\*  
Velocity Trade Capital Ltd.\*  
Virtu ITG Canada Corp.\*  
Wells Fargo Securities Canada, Ltd.

### 7 CORPORATE FINANCE

BFIN Securities LP  
Bloom Burton Securities Inc.  
Emerging Equities Inc.\*  
INFOR Financial Inc.\*  
Lightyear Capital Inc.\*  
M Partners Inc.\*  
Maison Placements Canada Inc.\*  
Middlefield Capital Corporation  
Mizuho Securities Canada Inc.  
Rabo Securities Canada, Inc.  
Red Cloud Securities Inc.  
SMBC Nikko Securities Canada, Ltd.

### 8 ALTERNATIVE TRADING SYSTEMS (ATS)

CanDeal.ca. Inc.  
EquiLend Canada Corp.  
Instinet Canada Cross Limited  
Liquidnet Canada Inc.\*  
MarketAxess Canada Company  
Perimeter Markets Inc.  
Tradelogiq Markets Inc.  
TriAct Canada Marketplace LP

### 9 PROPRIETARY TRADING/OTHER

Citadel Securities Canada ULC\*  
Independent Trading Group (ITG) Inc.\*  
Virtu Financial Canada, ULC\*  
W.D. Latimer Co. Limited\*

#### 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 ORDER EXECUTION ONLY (formerly Discount Brokers)

##### 6 INSTITUTIONAL

##### 7 CORPORATE FINANCE

*Predominately engaged in the distribution of securities and research*

##### 8 ALTERNATIVE TRADING SYSTEM (ATS)

##### 9 PROPRIETARY TRADING / OTHER

##### \* PARTICIPANT

\* 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.