



List of IIROC Dealer Members by Peer Group

December 2022

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.
 CJ Securities Inc.
 Coinsquare Capital Markets Ltd.
 Credential Qtrade Securities Inc.*
 Designed Securities Ltd.
 Desjardins Securities Inc.*
 Edward Jones*
 Fidelity Clearing Canada ULC*
 FIN-XO Securities Inc.
 Friedberg Mercantile Group Ltd.*
 Gravitas Securities Inc.*
 Haywood Securities Inc.*
 iA Private Wealth Inc.*
 Investors Group Securities Inc.
 IPC Securities Corporation
 Laurentian Bank Securities Inc.*

Leduc International Financial Services Inc.
 Leede Jones Gable Inc.*
 Manulife Securities Incorporated*
 MD Management Limited
 Morgan Stanley Wealth Management Canada Inc.
 Odium Brown Limited*
 PEAK Securities Inc.
 PI Financial Corp.*
 R.J. O'Brien & Associates Canada Inc.
 Raymond James Ltd.*
 Renaissance Capital Inc.
 Research Capital Corporation*
 RF Securities Clearing LP*
 Richardson Wealth Limited
 Sherbrooke Street Capital (SSC) Inc.
 StoneX Financial (Canada) Inc.
 Stuart Investment Management Limited
 Worldsource Securities Inc.

3 RETAIL - TYPE 1 & 2 INTRODUCERS

AimStar Capital Group Inc.
 Argosy Securities Inc.
 Brant Securities Limited
 Canada Life Securities Ltd.
 Creation Wealth Capital Inc.
 Echelon Wealth Partners Inc.*
 Foster & Associates Financial Services Inc.
 Hampton Securities Limited*
 Harbourfront Wealth Management Inc.
 Highgate Group Inc.
 Integral Wealth Securities Limited*
 JitneyTrade Inc.
 Kernaghan & Partners Ltd.
 Lakeshore Securities Inc.
 Mandeville Private Client Inc.
 Nour Private Wealth Inc.
 OMG Wealth Management Inc.
 OmniVita Custom Wealth Management Inc.
 Perry Securities Ltd.
 Pollitt & Co. Inc.*
 Portfolio HiWay Inc.
 Queensbury Securities Inc.
 Retire First Ltd.
 RGF Wealth Management Ltd.
 Rothenberg Wealth Management Inc.
 Secutor Capital Management Corporation
 Sightline Wealth Management LP
 Sprott Capital Partners LP
 StephenAvenue Securities Inc.*
 Vered Wealth Management (Canada) Company Limited
 Wellington-Altus Private Wealth Inc.*

4 MANAGED ACCOUNTS

Acker Finley Inc.*
 Caldwell Securities Ltd.*
 Cumberland Private Wealth Management Inc.
 CWB Wealth Partners 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

Admiral Markets Canada Ltd.
 BMO InvestorLine Inc.
 CI Investment Services Inc.*
 CMC Markets Canada Inc.
 Fortrade Canada Limited
 GAIN Capital - FOREX.com Canada Ltd.
 Interactive Brokers Canada Inc.*
 MogoTrade inc.*
 OANDA (Canada) Corporation ULC
 OTT Financial Canada Inc.
 Questrade, Inc.*
 RBC Direct Investing Inc.
 TradeZero Canada Securities ULC
 Wealthsimple Investments Inc.

6 INSTITUTIONAL

Acumen Capital Finance Partners Limited*
 ATB Capital Markets Inc.*
 Barclays Capital Canada Inc.*
 Beacon Securities Limited*
 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
 Eight Capital*

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

6 INSTITUTIONAL

7 CORPORATE FINANCE

Predominately engaged in the distribution of securities and research

8 ALTERNATIVE TRADING SYSTEM (ATS)

9 PROPRIETARY TRADING / OTHER

* PARTICIPANT



List of IIROC Dealer Members by Peer Group

CONT.

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.*
Pershing Securities Canada Limited*
Peters & Co. Limited*
PGM Global Inc.*
Pictet Canada L.P.*
Roth Canada, Inc.
Sanford C. Bernstein (Canada) Limited
Soci t  G n rale 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 Canada Corp.*
Wells Fargo Securities Canada, Ltd.

7 CORPORATE FINANCE

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.
Sera Global Securities Canada LP

SMBC Nikko Securities Canada, Ltd.

8 ALTERNATIVE TRADING SYSTEM (ATS)

Bloomberg Tradebook Canada Company
CanDeal Markets 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.*
SIG North Trading, ULC
Virtu Financial Canada, ULC
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.