

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
3I FINANCIAL INVESTMENT SERVICES INC.	25880	>Mutual Fund Dealer
ABBEY INVESTMENT MANAGEMENT LTD.	15700	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
ABERDEEN ASSET MANAGEMENT ASIA LIMITED	18400	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
ABERDEEN ASSET MANAGEMENT INC.	12470	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
ABERDEEN GOULD CAPITAL MARKETS LTD.	27200	>Limited Market Dealer
ABG SUNDAL COLLIER INC.	18950	>International Dealer
ABN AMRO CAPITAL MARKETS CANADA LIMITED	160	>Investment Dealer
ABN AMRO INCORPORATED	5030	>International Dealer
ABRIA ALTERNATIVE INVESTMENTS INC.	9120	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ABSOLUTE PRIVATE COUNSEL LIMITED	11360	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ACADIAN ASSET MANAGEMENT, LLC	6620	>International Adviser (Investment Counsel & Portfolio Manager)
ACCESS CAPITAL CORP.	210	>Limited Market Dealer
ACCESS CAPITAL MANAGEMENT INC.	16520	>Limited Market Dealer
ACCILENT CAPITAL MANAGEMENT INC.	12410	>Commodity Trading Manager
ACCILENT CAPITAL MANAGEMENT INC.	12410	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ACCOLADE INVESTMENT CORP.	27160	>Limited Market Dealer
ACCREDITED CAPITAL CORPORATION	18780	>Limited Market Dealer
ACE FINANCIAL CORPORATION	24550	>Limited Market Dealer
ACKBER FINANCIAL CORPORATION	7650	>Mutual Fund Dealer
ACKER FINLEY ASSET MANAGEMENT INC.	610	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
ACKER FINLEY INC.	140	>Broker & Investment Dealer
ACORN GLOBAL INVESTMENTS INC.	18640	>Investment Counsel & Portfolio Manager
ACORN GLOBAL INVESTMENTS INC.	18640	>Limited Market Dealer
ACORN GLOBAL INVESTMENTS INC.	18640	>Commodity Trading Manager
ACQUISITIONS, INVESTMENTS, MERGERS GROUP CANADA LIMITED	220	>Limited Market Dealer
ACUITY FUNDS LTD.	800	>Mutual Fund Dealer & Limited Market Dealer
ACUITY INVESTMENT MANAGEMENT INC.	90	>Investment Counsel & Portfolio Manager
ACUMEN CAPITAL FINANCE PARTNERS LIMITED	6070	>Broker & Investment Dealer
ADALY INVESTMENT MANAGEMENT CORP.	24370	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ADDENDA CAPITAL INC.	28190	>Commodity Trading Manager
ADDENDA CAPITAL INC.	28190	>Investment Counsel & Portfolio Manager
ADDENDA CAPITAL INC.	28190	>Limited Market Dealer
ADDINGTON FINANCIAL CORPORATION	6890	>Mutual Fund Dealer
ADELMAC INVESTMENTS LIMITED	170	>Limited Market Dealer
ADROIT INVESTMENT MANAGEMENT LTD.	11680	>Extra-Provincial Investment Counsel & Portfolio Manager
ADVANCE TECH FINANCIAL INC.	23600	>Limited Market Dealer
ADVISORY CAPITAL GROUP CANADA INC.	5180	>Investment Counsel & Portfolio Manager
ADVISORY RESEARCH, INC.	26480	>International Adviser (Investment Counsel & Portfolio Manager)
AEGON CAPITAL MANAGEMENT INC./AEGON GESTION DE FONDS INC.	11020	>Limited Market Dealer & Investment Counsel & Portfolio Manager
AETOS ALTERNATIVES MANAGEMENT, LLC	18360	>International Adviser (Investment Counsel & Portfolio Manager)
AFC CAPITAL LTEE	22020	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
AGF FUNDS INC. / LES FONDS AGF INC.	3640	>Limited Market Dealer
AGF FUNDS INC. / LES FONDS AGF INC.	3640	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
AGF SECURITIES (CANADA) LIMITED	20	>Investment Dealer
AGFIA LIMITED	24480	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
AGILITH CAPITAL INC.	26360	>Commodity Trading Manager
AGILITH CAPITAL INC.	26360	>Limited Market Dealer & Investment Counsel & Portfolio Manager
AGORACOM CAPITAL INC.	28070	>Limited Market Dealer
AIC INVESTMENT SERVICES INC./SERVICES D'INVESTISSEMENT AIC INC.	7890	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager
AIG GLOBAL INVESTMENT CORP. (CANADA)/SOCIETE MONDIALE DE PLACEMENT AIG (CANADA).	120	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ALBOURNE AMERICA LLC	25150	>International Adviser (Investment Counsel & Portfolio Manager)
ALCENTRA LIMITED	25440	>International Adviser (Investment Counsel & Portfolio Manager)
ALCHEMY CAPITAL INC.	17180	>Limited Market Dealer
ALCHEMY CAPITAL INC.	17180	>Investment Counsel & Portfolio Manager
ALDERSLEY SECURITIES INC.	5540	>Mutual Fund Dealer & Investment Counsel
ALEXANDER CAPITAL GROUP INC.	22840	>Limited Market Dealer
ALL GROUP FINANCIAL SERVICES INC.	22960	>Investment Dealer
ALLARD, ALLARD & ASSOCIES INC.	20120	>Extra-Provincial Investment Counsel & Portfolio Manager
ALLIANCEBERNSTEIN CANADA, INC.	100	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ALLIED CAPITAL CORPORATION	4390	>Limited Market Dealer
ALPHA ATS L.P.	28090	>Investment Dealer
ALPHA FUNDS MANAGEMENT INC.	20500	>Commodity Trading Manager

List of Ontario Registrants

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ALPHA FUNDS MANAGEMENT INC.	20500	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ALPHANORTH ASSET MANAGEMENT	26330	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ALPS DISTRIBUTORS, INC.	7770	>International Dealer
ALT CAPITAL MARKETS, INC.	16450	>Limited Market Dealer
ALTIMUM MUTUALS INC.	15640	>Mutual Fund Dealer & Limited Market Dealer
ALTRINSIC GLOBAL ADVISORS, LLC	23170	>Limited Market Dealer
ALTRINSIC GLOBAL ADVISORS, LLC	23170	>International Adviser (Investment Counsel & Portfolio Manager)
ALTUS SECURITIES INC.	5960	>Broker & Investment Dealer
AMBROSE INVESTMENT COUNSEL LTD.	17170	>Limited Market Dealer & Investment Counsel & Portfolio Manager
AMERICAN CENTURY GLOBAL INVESTMENT MANAGEMENT, INC.	20720	>International Adviser (Investment Counsel & Portfolio Manager)
AMERICAN CENTURY INVESTMENT MANAGEMENT, INC.	12830	>International Adviser (Investment Counsel & Portfolio Manager)
AMI PARTNERS INC.	110	>Limited Market Dealer & Investment Counsel & Portfolio Manager
AMSTEL SECURITIES N.V.	16730	>International Dealer
ANCHOR SECURITIES LIMITED	70	>Limited Market Dealer
ANDERSON CAPITAL INC.	24580	>Limited Market Dealer
ANGLER MANAGEMENT, LP	27600	>Limited Market Dealer
ANTARES INVESTMENT MANAGEMENT, INC.	18330	>Extra-Provincial Investment Counsel & Portfolio Manager
ANTHEM CAPITAL GROUP INC.	28440	>Limited Market Dealer
ANVEST FINANCIAL SERVICES INC.	30	>Investment Counsel & Portfolio Manager
ANZ SECURITIES, INC.	10180	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
AON BENFIELD SECURITIES, INC.	9360	>International Dealer
APPLECREEK CONSULTANTS LTD	26550	>Limited Market Dealer
AQUILO PARTNERS, INC.	18300	>Limited Market Dealer
ARC FINANCIAL CORP.	2960	>Limited Market Dealer
ARDEN ASSET MANAGEMENT LLC	22820	>International Adviser (Investment Counsel & Portfolio Manager)
ARGOSY SECURITIES INC.	5450	>Investment Dealer
ARIEL INVESTMENTS, LLC	18390	>International Adviser (Investment Counsel & Portfolio Manager)
ARJUNA CORPORATION	27290	>Investment Counsel & Portfolio Manager
ARJUNA CORPORATION	27290	>Limited Market Dealer
ARK FUND MANAGEMENT LTD.	11970	>Limited Market Dealer
ARMSTRONG & QUAILE ASSOCIATES INC.	130	>Mutual Fund Dealer & Limited Market Dealer
ARONSON+JOHNSON+ORTIZ, L.P.	16910	>International Adviser (Investment Counsel & Portfolio Manager)
ARROW HEDGE PARTNERS INC./LES ASSOCIES ARROW HEDGE INC.	9540	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
ARROWSTREET CAPITAL, LIMITED PARTNERSHIP	9320	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
ARTEMIS INVESTMENT MANAGEMENT LIMITED	18440	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ARTIO GLOBAL MANAGEMENT LLC	13140	>Limited Market Dealer
ARTIO GLOBAL MANAGEMENT LLC	13140	>International Adviser (Investment Counsel & Portfolio Manager)
ARTISAN PARTNERS LIMITED PARTNERSHIP	28760	>International Adviser (Investment Counsel & Portfolio Manager)
ASCENT FINANCIAL MANAGEMENT INC.	24340	>Limited Market Dealer
ASCENTA FINANCE CORP.	23800	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
ASG FINANCIAL CORP.	180	>Limited Market Dealer
ASHMORE INVESTMENT MANAGEMENT LIMITED	12280	>International Adviser (Investment Counsel & Portfolio Manager)
ASSANTE CAPITAL MANAGEMENT LTD./GESTION DE CAPITAL ASSANTE LTEE	1160	>Broker & Investment Dealer
ASSANTE FINANCIAL MANAGEMENT LTD./GESTION FINANCIERE ASSANTE LTEE	25750	>Mutual Fund Dealer & Limited Market Dealer
ATB SECURITIES INC.	16070	>Investment Dealer
ATLANTIC-PACIFIC CAPITAL, INC.	16420	>International Dealer
AUDENTIUM FINANCIAL CORP.	6290	>Mutual Fund Dealer
AUGEN CAPITAL CORP.	26090	>Limited Market Dealer
AURION CAPITAL MANAGEMENT INC. / GESTION DE PLACEMENTS AURION INC.	3380	>Limited Market Dealer & Investment Counsel & Portfolio Manager
AURION CAPITAL MANAGEMENT INC. / GESTION DE PLACEMENTS AURION INC.	3380	>Investment Counsel & Portfolio Manager
AURORA INVESTMENT MANAGEMENT L.L.C.	16200	>International Adviser (Investment Counsel & Portfolio Manager)
AVANTI SECURITIES CORPORATION	200	>Limited Market Dealer
AVENUE INVESTMENT MANAGEMENT INC.	15660	>Investment Counsel & Portfolio Manager
AVER MEDIA FINANCE CORPORATION	27870	>Limited Market Dealer
AVIVA INVESTORS CANADA INC.	8420	>Limited Market Dealer
AVIVA INVESTORS CANADA INC.	8420	>Investment Counsel & Portfolio Manager
AVIVA INVESTORS NORTH AMERICA, INC.	23620	>International Adviser (Investment Counsel & Portfolio Manager)
AVONDALE PARTNERS, LLC	12290	>International Dealer
AXA ROSENBERG INVESTMENT MANAGEMENT LLC / GESTION D'INVESTISSEMENTS AXA ROSENBERG	12090	>Limited Market Dealer
AXA ROSENBERG INVESTMENT MANAGEMENT LLC / GESTION D'INVESTISSEMENTS AXA ROSENBERG	12090	>International Adviser (Investment Counsel & Portfolio Manager)
AXEMEN RESOURCE CAPITAL LTD.	29310	>Limited Market Dealer

May/15/2009

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List of Ontario Registrants

FIRM NAME

NRD_NUM

OSC REGISTRATION CATEGORY

IDA APPROVAL CATEGORY

AZZOPARDI, PAUL VINCENT

27340 >Investment Counsel & Portfolio Manager

May/15/2009
10:33:59AM

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
B.E.S.T. INVESTMENT COUNSEL LIMITED	8500	>Investment Counsel & Portfolio Manager
BABSON CAPITAL MANAGEMENT LLC	440	>International Adviser (Investment Counsel & Portfolio Manager)
BABSON CAPITAL SECURITIES INC	13400	>International Dealer
BAILLIE GIFFORD INTERNATIONAL LLC	22980	>International Adviser (Investment Counsel & Portfolio Manager)
BAILLIE GIFFORD OVERSEAS LIMITED	460	>International Adviser (Investment Counsel & Portfolio Manager)
BAKER GILMORE & ASSOCIES INC. / BAKER GILMORE & ASSOCIATES INC.	400	>Investment Counsel & Portfolio Manager
BANC OF AMERICA SECURITIES CANADA CO. / BANC D'AMERIQUE VALEURS MOBILIERES DU CANADA	10190	>Investment Dealer
BANC OF AMERICA SECURITIES LLC	7310	>International Dealer
BANCA IMI SECURITIES CORP.	18370	>International Dealer
BANCO DO BRASIL SECURITIES LLC	28470	>International Dealer
BANWELL FINANCIAL INC.	10300	>Mutual Fund Dealer & Limited Market Dealer
BARCLAYS CAPITAL CANADA INC.	23970	>Investment Dealer
BARCLAYS CAPITAL INC.	6800	>International Dealer
BARCLAYS CAPITAL SECURITIES LIMITED	18860	>International Dealer
BARCLAYS GLOBAL INVESTORS CANADA LIMITED / INVESTISSEURS GLOBAUX BARCLAYS CANADA LIMITEE	3900	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
BARCLAYS GLOBAL INVESTORS SERVICES	10830	>International Dealer
BARCLAYS GLOBAL INVESTORS, NATIONAL ASSOCIATION	18480	>International Adviser (Investment Counsel & Portfolio Manager)
BARING ASSET MANAGEMENT, INC.	6480	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
BARING INTERNATIONAL INVESTMENT LIMITED	480	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
BARING INTERNATIONAL INVESTMENT LIMITED	480	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
BARLOW CAPITAL MANAGEMENT INC.	14850	>Extra-Provincial Investment Counsel & Portfolio Manager
BAROMETER CAPITAL MANAGEMENT INC.	10920	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BAROMETER CAPITAL MANAGEMENT INC.	10920	>Investment Counsel & Portfolio Manager
BARRANTAGH INVESTMENT MANAGEMENT INC.	5360	>Investment Counsel & Portfolio Manager
BARRET CAPITAL MANAGEMENT INC.	15960	>Investment Dealer & Futures Commission Merchant
BARRET CAPITAL MANAGEMENT INC.	15960	>Futures Commission Merchant (SRO Member)
BARRINGTON CAPITAL CORP.	22440	>Limited Market Dealer
BASKIN FINANCIAL SERVICES INC.	7050	>Limited Market Dealer
BASKIN FINANCIAL SERVICES INC.	7050	>Investment Counsel & Portfolio Manager
BATTERYMARCH FINANCIAL MANAGEMENT, INC.	11580	>International Adviser (Investment Counsel & Portfolio Manager)
BAYPORT CAPITAL CORPORATION	18230	>Limited Market Dealer
BAYSHORE ASSET MANAGEMENT INC.	17720	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BBG EQUITY MANAGEMENT CORPORATION	28520	>Limited Market Dealer
BBS SECURITIES INC	27620	>Investment Dealer
BBVA SECURITIES INC.	20890	>International Dealer
BCV ASSET MANAGEMENT INC.	24700	>Investment Counsel & Portfolio Manager
BEACON HILL FINANCIAL CORPORATION	23410	>International Dealer
BEACON II INC.	240	>Mutual Fund Dealer
BEACON SECURITIES LIMITED/VALEURS MOBILIERES BEACON LTEE	15540	>Investment Dealer
BECKSLEY CAPITAL INC.	540	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
BEDMINSTER FINANCIAL GROUP, LIMITED	22650	>Limited Market Dealer
BEECHWOOD ASSET MANAGEMENT INC.	27060	>Investment Counsel & Portfolio Manager
BEECHWOOD ASSET MANAGEMENT INC.	27060	>Limited Market Dealer
BEHR & ASSOCIATES INC.	25330	>Limited Market Dealer
BELWEATHER CAPITAL PARTNERS INC.	27520	>Limited Market Dealer
BENEDETTO, GARTLAND & COMPANY, INC.	12320	>International Dealer
BENNINGTON INVESTMENT MANAGEMENT INC.	26600	>Commodity Trading Counsel
BENNINGTON INVESTMENT MANAGEMENT INC.	26600	>Commodity Trading Manager
BENNINGTON INVESTMENT MANAGEMENT INC.	26600	>Limited Market Dealer
BENNINGTON INVESTMENT MANAGEMENT INC.	26600	>Investment Counsel & Portfolio Manager
BENSON VAN LAER & CO. INC.	17290	>Limited Market Dealer
BER TOV CAPITAL CORPORATION	25280	>Limited Market Dealer
BERCHWOOD PARTNERS LLC	26710	>International Dealer
BERINGER CAPITAL PARTNERS LTD.	21360	>Limited Market Dealer
BEUTEL GOODMAN MANAGED FUNDS INC.	380	>Mutual Fund Dealer
BEUTEL, GOODMAN & COMPANY LTD.	260	>Investment Counsel & Portfolio Manager
BGB SECURITIES, INC.	18970	>International Dealer
BGC CANADA SECURITIES COMPANY	4810	>Limited Market Dealer
BGC SECURITIES	870	>International Dealer
BICK FINANCIAL SECURITY CORPORATION	450	>Mutual Fund Dealer & Limited Market Dealer
BIMCOR INC.	270	>Investment Counsel & Portfolio Manager
BIOENTERPRISE CORPORATION	25460	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
BIRKENSHAW & COMPANY LTD.	28530	>Limited Market Dealer
BLACK CREEK INVESTMENT MANAGEMENT INC.	18900	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BLACKMONT CAPITAL INC.	1340	>Broker & Investment Dealer
BLACKROCK (INSTITUTIONAL) CANADA LTD.	3820	>Limited Market Dealer
BLACKROCK (INSTITUTIONAL) CANADA LTD.	3820	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
BLACKROCK FINANCIAL MANAGEMENT, INC.	6810	>International Adviser (Investment Counsel & Portfolio Manager)
BLACKTREE CAPITAL CORP.	10400	>Limited Market Dealer
BLACKWATCH CAPITAL CORP.	27530	>Investment Dealer
BLAIR FRANKLIN CAPITAL PARTNERS INC.	15970	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BLOOM BURTON & CO. INC.	5950	>Limited Market Dealer
BLOOM INVESTMENT COUNSEL, INC.	280	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BLOOMBERG TRADEBOOK (BERMUDA) LTD.	25870	>Limited Market Dealer
BLOOMBERG TRADEBOOK CANADA COMPANY	11870	>Investment Dealer & Futures Commission Merchant
BLOOMBERG TRADEBOOK LLC	7350	>Limited Market Dealer
BLOOMBERG TRADEBOOK LLC	7350	>International Dealer
BLOOMBERGSEN INC.	26810	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BLUECREST CAPITAL MANAGEMENT LLP	29290	>Limited Market Dealer
BLUENOSE INVESTMENT MANAGEMENT INC.	14820	>Extra-Provincial Investment Counsel & Portfolio Manager
BLUEPRINT INVESTMENT CORP.	9640	>Mutual Fund Dealer
BLUEWATER INVESTMENT MANAGEMENT INC.	4950	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
BLUMONT CAPITAL CORPORATION	10700	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager
BMO CAPITAL MARKETS CORP.	9000	>International Dealer
BMO HARRIS INVESTMENT MANAGEMENT INC./BMO HARRIS GESTION DE PLACEMENTS INC.	1810	>Limited Market Dealer
BMO HARRIS INVESTMENT MANAGEMENT INC./BMO HARRIS GESTION DE PLACEMENTS INC.	1810	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
BMO HARRIS INVESTMENT MANAGEMENT INC./BMO HARRIS GESTION DE PLACEMENTS INC.	1810	>Investment Counsel & Portfolio Manager
BMO INVESTMENTS INC./BMO INVESTISSEMENTS INC.	550	>Mutual Fund Dealer
BMO INVESTORLINE INC./BMO LIGNE D'ACTION INC.	250	>Investment Dealer
BMO NESBITT BURNS INC.	2580	>Investment Dealer & Futures Commission Merchant
BNP PARIBAS (CANADA) VALEURS MOBILIERES INC./BNP PARIBAS (CANADA) SECURITIES INC.	23310	>Investment Dealer
BNP PARIBAS SECURITIES (ASIA) LIMITED	22280	>International Dealer
BNP PARIBAS SECURITIES CORP.	2920	>International Dealer
BNY CONVERGEX EXECUTION SOLUTIONS LLC	4680	>International Dealer
BNY MELLON ASSET MANAGEMENT CANADA LTD.	6140	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BNY MELLON CAPITAL MARKETS LLC	24070	>Limited Market Dealer
BOLDER INVESTMENT PARTNERS, LTD.	9660	>Broker & Investment Dealer
BONAVISTA ASSET MANAGEMENT LTD.	620	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BOREALIS INFRASTRUCTURE MANAGEMENT INC.	7480	>Limited Market Dealer
BOREALIS SECURITIES INC.	9930	>Limited Market Dealer
BOSTONIA GLOBAL SECURITIES LLC	24630	>International Dealer
BOSWELL CAPITAL CORPORATION	28260	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
BOUCHER & COMPANY INC.	11410	>Limited Market Dealer
BRADFORD BACHINSKI LIMITED	23680	>Limited Market Dealer
BRANDES INVESTMENT PARTNERS & CO.	7570	>Mutual Fund Dealer & Limited Market Dealer & Investment Counsel & Portfolio Manager
BRANDES INVESTMENT PARTNERS, L.P.	4900	>International Adviser (Investment Counsel & Portfolio Manager)
BRANDYWINE GLOBAL INVESTMENT MANAGEMENT, LLC	6540	>International Adviser (Investment Counsel & Portfolio Manager)
BRANT SECURITIES LIMITED	300	>Broker & Investment Dealer
BREAN MURRAY, CARRET & CO., LLC	29190	>International Dealer
BRETON ASSET MANAGEMENT LIMITED	22160	>Investment Counsel & Portfolio Manager
BRICKBURN ASSET MANAGEMENT INC.	14220	>Extra-Provincial Investment Counsel & Portfolio Manager
BRIDGEPORT ASSET MANAGEMENT INC.	25060	>Limited Market Dealer
BRIDGEPORT ASSET MANAGEMENT INC.	25060	>Investment Counsel & Portfolio Manager
BRIDGEWATER ASSOCIATES, INC.	21400	>International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
BRISTOL GATE CAPITAL PARTNERS INC.	23210	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BROADPOINT AMTECH, INC.	27660	>International Dealer
BROADPOINT CAPITAL, INC.	7320	>International Dealer
BROADVIEW CAPITAL MANAGEMENT INC.	29090	>Investment Counsel & Portfolio Manager
BROADVIEW CAPITAL MANAGEMENT INC.	29090	>Limited Market Dealer
BROCKHOUSE & COOPER INC.	19170	>Limited Market Dealer
BROCKHOUSE COOPER GESTION D'ACTIFS INC. / BROCKHOUSE COOPER ASSET MANAGEMENT INC.	22660	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
BROMLEIGH INVESTMENT MANAGEMENT INC.	26940	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

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BROMPTON CAPITAL ADVISORS INC.	13260	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BRONTE INVESTMENT SERVICES LIMITED	18730	>Limited Market Dealer
BROOK CAPITAL CORPORATION	4790	>Limited Market Dealer
BROOKDALE CAPITAL INC.	22500	>Investment Counsel & Portfolio Manager
BROOKFIELD FINANCIAL CORP./CORP. BROOKFIELD FINANCIER	3710	>Investment Dealer
BROOKFIELD INVESTMENT FUNDS MANAGEMENT INC.	22390	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BROOKFIELD REDDING LLC	28240	>International Adviser (Investment Counsel & Portfolio Manager)
BROOKFIELD SOUNDVEST CAPITAL MANAGEMENT LTD. / GESTION DE CAPITAUX BROOKFIELD SOUNDVEST LTEE	1830	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BROWN BROTHERS HARRIMAN & CO.	4140	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
BROWNSTONE INVESTMENT PLANNING INC.	20400	>Mutual Fund Dealer & Limited Market Dealer
BSM CAPITAL CORPORATION	27360	>Limited Market Dealer
BTIG, LLC	26520	>International Dealer
BUENA VISTA CAPITAL INC.	25660	>Limited Market Dealer
BULL CAPITAL MANAGEMENT INC.	24930	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BULLION MARKETING SERVICES INC.	21450	>Limited Market Dealer
BUREEN FINANCIAL MANAGEMENT CORPORATION	5150	>Limited Market Dealer
BURGEONVEST SECURITIES LIMITED	11270	>Investment Dealer
BURGUNDY ASSET MANAGEMENT LTD./GESTION D'ACTIFS BURGUNDY LTEE	360	>Limited Market Dealer & Investment Counsel & Portfolio Manager
BURLINGTON CAPITAL MANAGEMENT LTD.	18790	>Limited Market Dealer & Investment Counsel & Portfolio Manager

May/15/2009

10:33:59AM

List of Ontario Registrants

FIRM NAME

NRD_NUM

OSC REGISTRATION CATEGORY

IDA APPROVAL CATEGORY

BURNHAM SECURITIES INC.

12380 >International Dealer

BUSH ASSOCIES LTEE / BUSH ASSOCIATES LTD

19180 >Extra-Provincial Investment Counsel & Portfolio Manager

BYRON SECURITIES LIMITED

10880 >Investment Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
C.A. BANCORP LTD.	7710	>Investment Counsel & Portfolio Manager
C.A. BANCORP LTD.	7710	>Limited Market Dealer
C.A. DELANEY CAPITAL MANAGEMENT LTD.	1090	>Limited Market Dealer & Investment Counsel & Portfolio Manager
C.P. EATON PARTNERS, LLC	12800	>International Dealer
C.S. MCKEE, L.P.	23390	>International Adviser (Investment Counsel & Portfolio Manager)
C.S.T. CONSULTANTS INC./CONSULTANTS C.S.T. INC.	790	>Scholarship Plan Dealer
CALAMOS ADVISORS LLC	17190	>International Adviser (Investment Counsel & Portfolio Manager)
CALDWELL INDEPENDENT RESEARCH LTD.	12790	>Securities Adviser
CALDWELL INVESTMENT MANAGEMENT LTD.	6930	>Investment Counsel & Portfolio Manager
CALDWELL SECURITIES LTD.	750	>Broker & Investment Dealer
CALE FINANCIAL CORPORATION	6000	>Limited Market Dealer
CALEDON CAPITAL MANAGEMENT INC.	29280	>Limited Market Dealer
CALROSSIE INVESTMENT MANAGEMENT INC.	25680	>Limited Market Dealer
CALROSSIE INVESTMENT MANAGEMENT INC.	25680	>Investment Counsel & Portfolio Manager
CALYON SECURITIES (USA) INC.	25310	>International Dealer
CAMBRIDGE ASSOCIATES LLC	10820	>International Adviser (Investment Counsel & Portfolio Manager)
CAMBRIDGE CORPORATE DEVELOPMENT INC.	16850	>Limited Market Dealer
CAMLIN ASSET MANAGEMENT LTD.	17760	>Extra-Provincial Investment Counsel & Portfolio Manager
CAMPBELL & LEE INVESTMENT MANAGEMENT INC.	10320	>Investment Counsel & Portfolio Manager
CAMPBELL LUTYENS & CO. LTD	21280	>International Dealer
CANACCORD ADAMS INC.	23140	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CANACCORD ASSET MANAGEMENT INC./CANACCORD GESTION D'ACTIFS INC.	25790	>Limited Market Dealer
CANACCORD CAPITAL CORPORATION/LA CORPORATION CANACCORD CAPITAL	900	>Broker & Investment Dealer
CANADA-ISRAEL SECURITIES, LIMITED/CANADA-ISRAEL VALEURS MOBILIERS LIMITEE	5160	>Limited Market Dealer
CANADIAN FIRST FINANCIAL CENTRES LIMITED	27110	>Limited Market Dealer
CANADIAN FIRST FINANCIAL CENTRES LIMITED	27110	>Mutual Fund Dealer
CANADIAN MANAGED FUTURES INC.	25350	>Commodity Trading Manager
CANADIAN MANAGED FUTURES INC.	25350	>Limited Market Dealer
CANADIAN SHAREOWNER INVESTMENTS INC. / INVESTISSEMENTS ACTIONNAIRES CANADIENS INC.	9180	>Investment Dealer
CANDEAL.CA INC	11860	>Investment Dealer
CANDOR FINANCIAL GROUP INC.	6650	>Mutual Fund Dealer & Limited Market Dealer
CANFIN MAGELLAN INVESTMENTS INC.	6870	>Mutual Fund Dealer & Limited Market Dealer
CANSO INVESTMENT COUNSEL LTD.	7190	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CANTOR FITZGERALD & CO.	880	>International Dealer
CANTOR FITZGERALD CANADA CORPORATION	24390	>Investment Dealer
CAPITAL CANADA LIMITED	580	>Limited Market Dealer
CAPITAL GUARDIAN TRUST COMPANY	4070	>International Adviser (Investment Counsel & Portfolio Manager)
CAPITAL INSTITUTIONAL SERVICES, INC.	960	>International Dealer
CAPITAL INTERNATIONAL ASSET MANAGEMENT (CANADA),INC.	10500	>Investment Counsel & Portfolio Manager
CAPITAL PARTNERS CORPORATION	11670	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CAPITAL STREET GROUP INVESTMENT SERVICES, INC.	25970	>Limited Market Dealer
CARDINAL CAPITAL MANAGEMENT INC.	12920	>Extra-Provincial Investment Counsel & Portfolio Manager
CARIS & COMPANY, INC.	17520	>International Dealer
CARTE WEALTH MANAGEMENT INC.	24540	>Limited Market Dealer
CARTE WEALTH MANAGEMENT INC.	24540	>Mutual Fund Dealer
CARTER SECURITIES INC.	25560	>Limited Market Dealer
CASERIDGE CAPITAL CORPORATION	28010	>Limited Market Dealer
CASGRAIN & COMPAGNIE LIMITEE / CASGRAIN & COMPANY LIMITED	990	>Limited Market Dealer
CASIMIR CAPITAL L.P.	27240	>Limited Market Dealer
CASSELS INVESTMENT MANAGEMENT INC.	9500	>Investment Counsel & Portfolio Manager
CASSIS CAPITAL CORP.	22110	>Limited Market Dealer
CASTELLUM CAPITAL MANAGEMENT INC.	6850	>Investment Counsel & Portfolio Manager
CASTLEMOORE INC.	20640	>Investment Counsel & Portfolio Manager
CATAPULT FINANCIAL MANAGEMENT INC.	20590	>Investment Counsel & Portfolio Manager
CATPAT HOLDINGS INC.	8740	>Investment Counsel
CAZENOVE INCORPORATED	8810	>International Dealer
CBI CAPITAL INC.	28480	>Limited Market Dealer
CENTENNIAL CAPITAL CORPORATION	25740	>Limited Market Dealer
CERTUS WEALTH MANAGEMENT INC.	7940	>Investment Counsel & Portfolio Manager
CF GLOBAL TRADING, LLC	25570	>Limited Market Dealer
CFI CAPITAL INC.	20220	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CFI LEASING LIMITED	4780	>Limited Market Dealer
CFT SECURITIES, LLC	10960	>Limited Market Dealer
CFT SECURITIES, LLC	10960	>International Dealer
CG&B INVESTMENT SERVICES INC.	10590	>Investment Dealer
CGS ASSET MANAGEMENT LTD.	27790	>Extra-Provincial Investment Counsel & Portfolio Manager
CHAND, RANGA	11900	>Securities Adviser
CHAPELGATE ASSET MANAGEMENT COMPANY LTD.	22940	>Limited Market Dealer
CHAPELGATE ASSET MANAGEMENT COMPANY LTD.	22940	>Investment Counsel & Portfolio Manager
CHARLES AND QUINN INC.	29030	>Limited Market Dealer
CHICAGO EQUITY PARTNERS, LLC	11260	>International Adviser (Investment Counsel & Portfolio Manager)
CHIEFSWOOD INVESTMENT MANAGEMENT INC.	11180	>Investment Counsel & Portfolio Manager
CHILDREN'S EDUCATION FUNDS INC./FONDS D'ETUDES POUR LES ENFANTS INC.	1180	>Scholarship Plan Dealer
CHIPPEWA NATION FINANCIAL GROUP INC.	26320	>Limited Market Dealer
CHI-X CANADA ATS LIMITED	24400	>Investment Dealer
CHOU ASSOCIATES MANAGEMENT INC.	600	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CHOU WEALTH MANAGEMENT INC.	28050	>Limited Market Dealer
CHS ASSET MANAGEMENT INC.	28660	>Investment Counsel & Portfolio Manager
CHS ASSET MANAGEMENT INC.	28660	>Limited Market Dealer
CI FUND SERVICES INC.	5930	>Mutual Fund Dealer & Limited Market Dealer
CI INVESTMENTS INC	28980	>Commodity Trading Manager & Commodity Trading Counsel
CI INVESTMENTS INC	28980	>Investment Counsel & Portfolio Manager
CI INVESTMENTS INC	28980	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CIBC ASSET MANAGEMENT INC./GESTION D'ACTIFS CIBC INC.	3660	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
CIBC GLOBAL ASSET MANAGEMENT INC. / GESTION GLOBALE D'ACTIFS CIBC INC.	3620	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
CIBC INVESTOR SERVICES INC./ SERVICES INVESTISSEURS CIBC INC.	5380	>Investment Dealer
CIBC PRIVATE INVESTMENT COUNSEL INC. / GESTION PRIVEE DE PORTEFEUILLE CIBC INC.	3630	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CIBC SECURITIES INC./PLACEMENTS CIBC INC.	11100	>Mutual Fund Dealer
CIBC WORLD MARKETS CORP.	2670	>International Dealer
CIBC WORLD MARKETS INC./MARCHES MONDIAUX CIBC INC.	3850	>Investment Dealer & Futures Commission Merchant
CIDEL FINANCIAL GROUP INC.	10870	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CIT GROUP SECURITIES (CANADA) INC.	5430	>Investment Dealer
CITADEL SECURITIES INC.	24750	>Investment Dealer
CITIBANK CANADA INVESTMENT FUNDS LIMITED	4920	>Investment Counsel & Portfolio Manager
CITIBANK CANADA INVESTMENT FUNDS LIMITED	4920	>Limited Market Dealer
CITIBANK CANADA INVESTMENT FUNDS LIMITED	4920	>Mutual Fund Dealer
CITIGROUP ALTERNATIVE INVESTMENTS LLC	20240	>International Adviser (Investment Counsel & Portfolio Manager)
CITIGROUP GLOBAL MARKETS CANADA INC. / MARCHES MONDIAUX CITIGROUP CANADA INC.	3360	>Investment Dealer
CITIGROUP GLOBAL MARKETS INC.	3490	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
CITIGROUP GLOBAL MARKETS LIMITED	3390	>International Dealer
CITY OF LONDON INVESTMENT MANAGEMENT COMPANY LIMITED	4800	>Limited Market Dealer
CITY OF LONDON INVESTMENT MANAGEMENT COMPANY LIMITED	4800	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CLARENDON CAPITAL INC.	23190	>Limited Market Dealer
CLARESTTE WEALTH MANAGEMENT INC.	16890	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CLARUS SECURITIES INC / VALEURS MOBILIERES CLARUS INC.	13160	>Investment Dealer
CLAY FINLAY LLC	27830	>International Adviser (Investment Counsel & Portfolio Manager)
CLAYMORE INVESTMENTS, INC.	19030	>Limited Market Dealer
CLAYMORE INVESTMENTS, INC.	19030	>Investment Counsel & Portfolio Manager
CLEARWATER CAPITAL MANAGEMENT INC.	8880	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CLUSTER ASSET MANAGEMENT INC.	10210	>Investment Counsel & Portfolio Manager
CMC MARKETS ASIA PACIFIC PTY LTD.	27140	>International Dealer
CMC MARKETS CANADA INC./ MARCHES CMC CANADA	12570	>Investment Dealer
CMC MARKETS UK PLC	27150	>International Dealer
CMS FUND ADVISERS, INC.	13360	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
CMS INVESTMENT RESOURCES (CANADA), INC.	7750	>Limited Market Dealer
COCKFIELD PORRETTI CUNNINGHAM INVESTMENT COUNSEL INC.	770	>Investment Counsel & Portfolio Manager
COHEN & COMPANY SECURITIES, LLC	25550	>International Dealer
COLBY COOPER CAPITAL INC.	27000	>Limited Market Dealer
COLEFORD INVESTMENT MANAGEMENT LTD.	730	>Investment Counsel & Portfolio Manager
COLLINS/BAY ISLAND SECURITIES LLC	26920	>Limited Market Dealer
COMGEST ASSET MANAGEMENT INTERNATIONAL LIMITED	25950	>International Adviser (Investment Counsel & Portfolio Manager)
COMGEST ASSET MANAGEMENT INTERNATIONAL LIMITED	25950	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
COMGEST SA	25940	>International Adviser (Investment Counsel & Portfolio Manager)
COMGEST SA	25940	>Limited Market Dealer
COMMERZBANK CAPITAL MARKETS CORP.	8820	>International Dealer
COMMISSION DIRECT INC.	810	>Investment Dealer
COMMONFUND ASSET MANAGEMENT COMPANY, INC.	9460	>International Adviser (Investment Counsel & Portfolio Manager)
COMMONFUND SECURITIES INC.	24320	>Limited Market Dealer
COMMONWEALTH AUSTRALIA SECURITIES LLC	23150	>International Dealer
COMPAGNIE TIMBER HILL CANADA / TIMBER HILL CANADA COMPANY	7830	>Investment Dealer
CONCORDIA CAPITAL MANAGEMENT CORP.	20760	>Investment Counsel & Portfolio Manager
CONISTON INVESTMENT CORP.	9770	>Limited Market Dealer
CONNING ASSET MANAGEMENT COMPANY	12080	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
CONNOR, CLARK & LUNN ARROWSTREET CAPITAL LTD.	12300	>Limited Market Dealer
CONNOR, CLARK & LUNN CAPITAL MARKETS INC.	10890	>Investment Counsel & Portfolio Manager
CONNOR, CLARK & LUNN INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS CONNOR, CLARK & LUNN	640	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
CONNOR, CLARK & LUNN INVESTMENT MANAGEMENT PARTNERSHIP	4550	>Investment Counsel & Portfolio Manager
CONNOR, CLARK & LUNN PRIVATE CAPITAL LTD.	14660	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
CONSEILLERS EN GESTION GLOBALE STATE STREET LTEE. / STATE STREET GLOBAL ADVISORS, LTD.	4700	>Limited Market Dealer
CONSEILLERS EN GESTION GLOBALE STATE STREET LTEE. / STATE STREET GLOBAL ADVISORS, LTD.	4700	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
CONSEILLERS INTERINVEST CORPORATION DU CANADA LTEE / INTERINVEST CONSULTING CORPORATION OF CANADA LTD.	1730	>Extra-Provincial Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CONSOLIDATED RISK MANAGEMENT SOLUTIONS INC.	8770	>Investment Counsel
COÖPERATIEVE CENTRALE RAIFFEISEN-BOERENLEENBANK B.A.	21190	>International Dealer
CORDIANT CAPITAL INC.	9220	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
CORIEL CAPITAL INC.	25910	>Extra-Provincial Investment Counsel & Portfolio Manager
CORIOLIS CAPITAL LIMITED	27330	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
CORMARK SECURITIES INC. / VALEURS MOBILIERES CORMARK INC.	10090	>Broker & Investment Dealer
CORNERSTONE ASSET MANAGEMENT L.P.	16540	>Commodity Trading Manager
CORNERSTONE ASSET MANAGEMENT L.P.	16540	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CORNERSTONE SECURITIES CANADA INC.	910	>Limited Market Dealer
CORPORATION GESTION DE PLACEMENTS CLARET / CLARET ASSET MANAGEMENT CORPORATION	8130	>Extra-Provincial Investment Counsel & Portfolio Manager
COUGAR GLOBAL INVESTMENTS LIMITED PARTNERSHIP	6530	>Investment Counsel & Portfolio Manager
COUNSEL GROUP OF FUNDS INC.	13240	>Investment Counsel & Portfolio Manager
COURTAGE DIRECT BANQUE NATIONALE INC./NATIONAL BANK DIRECT BROKERAGE INC.	9190	>Investment Dealer
COVENANT CAPITAL MANAGEMENT INC.	16770	>Extra-Provincial Investment Counsel
COVENANT FINANCIAL INC.	12990	>Mutual Fund Dealer & Limited Market Dealer
COVINGTON CAPITAL CORPORATION	5120	>Limited Market Dealer & Investment Counsel & Portfolio Manager
COWEN AND COMPANY, LLC	7980	>International Dealer
CPA SECURITIES INC.	670	>Investment Dealer
CR ADVISORS CORPORATION	15990	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CRAIG-HALLUM CAPITAL GROUP LLC	26460	>International Dealer
CRANSTON, GASKIN, O'REILLY & VERNON	5590	>Limited Market Dealer & Investment Counsel & Portfolio Manager
CREDENTIAL ASSET MANAGEMENT INC.	1260	>Mutual Fund Dealer
CREDENTIAL SECURITIES INC.	6190	>Investment Dealer
CREDIT AGRICOLE ASSET MANAGEMENT CANADA INC./CREDIT AGRICOLE GESTION D'ACTIFS CANADA INC.	27710	>Extra-Provincial Investment Counsel & Portfolio Manager
CREDIT AGRICOLE CHEUVREUX NORTH AMERICA, INC.	12630	>International Dealer
CREDIT SUISSE	7740	>International Dealer
CREDIT SUISSE ASSET MANAGEMENT,LLC	3980	>International Adviser (Investment Counsel & Portfolio Manager)
CREDIT SUISSE SECURITIES (CANADA), INC./VALEURS MOBILIERES CREDIT SUISSE (CANADA), INC.	1350	>Broker & Investment Dealer
CREDIT SUISSE SECURITIES (EUROPE) LIMITED	920	>Limited Market Dealer
CREDIT SUISSE SECURITIES (EUROPE) LIMITED	920	>International Dealer
CREDIT SUISSE SECURITIES (USA) LLC	1390	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
CREDIT SUISSE SECURITIES (USA) LLC	1390	>Limited Market Dealer
CRESTRIDGE ASSET MANAGEMENT INC.	11200	>Investment Counsel & Portfolio Manager
CRESTSTREET ASSET MANAGEMENT LIMITED	9790	>Commodity Trading Manager
CRESTSTREET ASSET MANAGEMENT LIMITED	9790	>Investment Counsel & Portfolio Manager
CRESTSTREET SECURITIES LIMITED	22850	>Limited Market Dealer
CROSBIE & COMPANY INC.	11920	>Limited Market Dealer
CROSBIE CAPITAL MANAGEMENT INC.	5970	>Investment Counsel & Portfolio Manager
CROWN HILL ASSET MANAGEMENT INC.	22270	>Investment Counsel & Portfolio Manager

May/15/2009
10:33:59AM

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
CRR CAPITAL MARKETS, INC.	22640	>Limited Market Dealer
CRYSTAL WEALTH MANAGEMENT SYSTEM LIMITED	8000	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
CTI CAPITAL VALEURS MOBILIERES INC. / CTI CAPITAL SECURITIES INC.	25640	>Investment Dealer
CUMBERLAND PRIVATE WEALTH MANAGEMENT INC./ CUMBERLAND, GESTION DE PATRIMOINE	7200	>Investment Dealer
CVC MARKET POINT INC.	22070	>Limited Market Dealer
CWM FUNDS INC	14360	>Mutual Fund Dealer
CWM INVESTMENT COUNSEL INC.	14270	>Limited Market Dealer
CWM INVESTMENT COUNSEL INC.	14270	>Investment Counsel & Portfolio Manager
CYPRESS CAPITAL MANAGEMENT LTD.	8990	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
D&D SECURITIES COMPANY	22770	>Investment Dealer
D.E. SHAW & CO., L.P.	10510	>International Adviser (Investment Counsel & Portfolio Manager)
D.E. SHAW SECURITIES, L.L.C.	5340	>International Dealer
D.W. GOOD INVESTMENT COMPANY LIMITED	14140	>Mutual Fund Dealer
D2M INC.	13200	>Investment Counsel & Portfolio Manager
DAHLMAN ROSE & COMPANY, LLC	25090	>International Dealer
DAIWA SECURITIES AMERICA INC.	1120	>International Dealer
DAIWA SECURITIES SMBC EUROPE LIMITED	12900	>International Dealer
DALTON, GREINER, HARTMAN, MAHER & CO., LLC	10470	>International Adviser (Investment Counsel & Portfolio Manager)
DAN HALLETT AND ASSOCIATES INC.	16790	>Investment Counsel
DANZ FINANCIAL CORPORATION	1140	>Limited Market Dealer
DAV/WETHERLY FINANCIAL, L.P.	26510	>International Dealer
DAVID APPEL INVESTMENT CONSULTANTS LTD.	5020	>Investment Counsel
DAVIS, MENDEL & REGENSTEIN, INC.	5470	>International Dealer
DAVIS-REA LTD./DAVIS-REA LTEE.	17810	>Limited Market Dealer & Investment Counsel & Portfolio Manager
DBS VICKERS SECURITIES (USA) INC.	4930	>International Dealer
DBU CAPITAL GROUP INC.	28800	>Limited Market Dealer
DDX CAPITAL ADVISERS INC.	24100	>Investment Counsel & Portfolio Manager
DE THOMAS FINANCIAL CORP.	1050	>Mutual Fund Dealer & Limited Market Dealer
DEACON AND COMPANY CAPITAL MARKETS INC.	26450	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
DEANS KNIGHT CAPITAL MANAGEMENT LTD. / GESTION DE CAPITAL DEANS KNIGHT LTEE	4300	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
DEEP SECURITIES INC	27930	>Limited Market Dealer
DELANO CAPITAL CORP.	28130	>Limited Market Dealer
DELAWARE MANAGEMENT BUSINESS TRUST	21290	>International Adviser (Investment Counsel & Portfolio Manager)
DELOITTE & TOUCHE CORPORATE FINANCE CANADA INC.	8690	>Limited Market Dealer
DELPHINA ASSET MANAGEMENT INC.	17570	>Investment Counsel & Portfolio Manager
DEPUTTER PUBLISHING LTD.	1000	>Commodity Trading Manager
DESJARDINS CABINET DE SERVICES FINANCIERS INC./DESJARDINS FINANCIAL SERVICES FIRM INC.	4210	>Mutual Fund Dealer & Limited Market Dealer
DESJARDINS GESTION INTERNATIONALE D'ACTIFS INC./DESJARDINS GLOBAL ASSET MANAGEMENT INC.	17990	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
DESJARDINS SECURITE FINANCIERE INVESTISSEMENTS INC./DESJARDINS FINANCIAL SECURITY INVESTMENTS INC.	23430	>Mutual Fund Dealer & Limited Market Dealer
DESJARDINS SECURITIES INC./VALEURS MOBILIERES DESJARDINS INC.	1030	>Investment Dealer & Futures Commission Merchant
DEUTSCHE ASSET MANAGEMENT CANADA LIMITED/GESTION DE PLACEMENTS DEUTSCHE CANADA LIMITEE	3240	>Limited Market Dealer
DEUTSCHE ASSET MANAGEMENT CANADA LIMITED/GESTION DE PLACEMENTS DEUTSCHE CANADA LIMITEE	3240	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
DEUTSCHE ASSET MANAGEMENT INTERNATIONAL GMBH	4010	>International Adviser (Investment Counsel & Portfolio Manager)
DEUTSCHE BANK SECURITIES INC.	2090	>International Dealer
DEUTSCHE BANK SECURITIES LIMITED/DEUTSCHE BANK VALEURS MOBILIERES LIMITEE	2180	>Broker & Investment Dealer
DEUTSCHE INVESTMENT MANAGEMENT AMERICAS INC.	26750	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
DEXIA ASSET MANAGEMENT LUXEMBOURG S.A.	28510	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
DEXIA ASSET MANAGEMENT LUXEMBOURG S.A.	28510	>Limited Market Dealer
DGM HOLDINGS (CANADA) INC.	6680	>Limited Market Dealer
DI TOMASSO GROUP INCORPORATED	5230	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
DIMENSIONAL FUND ADVISORS ULC	16190	>Extra-Provincial Investment Counsel & Portfolio Manager
DIMENSIONAL FUND ADVISORS ULC	16190	>Limited Market Dealer
DIRECT TRADING INSTITUTIONAL, L.P.	21880	>International Dealer
DIVERSIFIED GLOBAL ASSET MANAGEMENT CORPORATION	22460	>Limited Market Dealer & Investment Counsel & Portfolio Manager
DIXON MITCHELL INVESTMENT COUNSEL INC.	14440	>Extra-Provincial Investment Counsel & Portfolio Manager
DNL MONEY MANAGEMENT LTD.	5220	>Mutual Fund Dealer
DOHENY SECURITIES LIMITED	13950	>Mutual Fund Dealer
DOHERTY & ASSOCIATES LTD.	1010	>Limited Market Dealer
DOHERTY & ASSOCIATES LTD.	1010	>Investment Counsel & Portfolio Manager
DONRO FINANCIAL LTD.	7130	>Mutual Fund Dealer
DONVILLE KENT ASSET MANAGEMENT INC.	26430	>Limited Market Dealer & Investment Counsel & Portfolio Manager
DORCHESTER INVESTMENT MANAGEMENT / GESTION DE PLACEMENTS DORCHESTER	1070	>Investment Counsel & Portfolio Manager
DOUGHERTY & COMPANY LLC	11620	>International Dealer
DOUGLAS CAPITAL INC.	12710	>Limited Market Dealer
DOWLING & PARTNERS SECURITIES, LLC	26410	>International Dealer
DPX CAPITAL INC.	17890	>Limited Market Dealer
DRESDNER KLEINWORT SECURITIES LLC	5560	>International Dealer
DRIEHAUS CAPITAL MANAGEMENT LLC	22340	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)

May/15/2009
10:33:59AM

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
DRIEHAUS SECURITIES LLC	22330	>International Dealer
DS ALTERNATIVE STRATEGIES INC.	24610	>Limited Market Dealer
DUBEAU CAPITAL & CIE LTEE/DUBEAU CAPITAL & CO. LTD	19280	>Investment Dealer
DUNCAN ROSS ASSOCIATES LTD. / DUNCAN ROSS ASSOCIES LTEE	6280	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
DUNDEE PRIVATE INVESTORS INC./SERVICES FINANCIERS DUNDEE INC.	340	>Mutual Fund Dealer & Limited Market Dealer
DUNDEE SECURITIES CORPORATION/CORPORATION DE VALEURS MOBILIERES DUNDEE	17920	>Investment Dealer
DZ FINANCIAL MARKETS LLC	10660	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
E*TRADE CAPITAL MARKETS, LLC	22740	>International Dealer
E.M. SMITHIES & ASSOCIATES INVESTMENT MANAGEMENT INC.	15030	>Extra-Provincial Investment Counsel & Portfolio Manager
E3M INVESTMENTS INC.	1210	>Broker & Investment Dealer
EACM ADVISORS LLC	22150	>International Adviser (Investment Counsel & Portfolio Manager)
EAGLE ASSET MANAGEMENT, INC.	18420	>International Adviser (Investment Counsel & Portfolio Manager)
EAGLE BOSTON INVESTMENT MANAGEMENT, INC.	27580	>International Adviser (Investment Counsel & Portfolio Manager)
EARNEST PARTNERS, LLC	24230	>International Adviser (Investment Counsel & Portfolio Manager)
ECHLIN INVESTMENT MANAGEMENT LIMITED	1190	>Investment Counsel & Portfolio Manager
ECI INVESTMENTS INC.	28860	>Limited Market Dealer
ECOROCK ASSET MANAGEMENT INC.	26840	>Limited Market Dealer
ECOROCK ASSET MANAGEMENT INC.	26840	>Investment Counsel & Portfolio Manager
EDENVIEW FINANCIAL INC.	16860	>Limited Market Dealer
EDGEPOINT INVESTMENT MANAGEMENT INC.	27490	>Investment Counsel & Portfolio Manager
EDGEPOINT INVESTMENT MANAGEMENT INC.	27490	>Limited Market Dealer
EDGEWOOD MANAGEMENT LLC / GESTION EDGEWOOD LLC	23040	>International Adviser (Investment Counsel & Portfolio Manager)
EDINBURGH PARTNERS LIMITED	25270	>International Adviser (Investment Counsel & Portfolio Manager)
EDUCATORS FINANCIAL GROUP INC.	2650	>Mutual Fund Dealer
EDWARD JONES	4340	>Investment Dealer
ELLIOTT & PAGE LIMITED / ELLIOTT & PAGE LIMITEE	1150	>Limited Market Dealer
ELLIOTT & PAGE LIMITED / ELLIOTT & PAGE LIMITEE	1150	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
ELMWOOD CAPITAL INC.	10840	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ELYSIUM WEALTH MANAGEMENT INC.	14060	>Extra-Provincial Investment Counsel & Portfolio Manager
EMERGING EQUITIES INC.	8640	>Investment Dealer
EMERGING MARKETS MANAGEMENT, L.L.C.	22890	>International Adviser (Investment Counsel & Portfolio Manager)
ENGINEERED RISK MANAGEMENT INC	27500	>Limited Market Dealer
ENLIGHTENED PRIVATE CAPITAL INC.	28680	>Limited Market Dealer
ENRICHED INVESTING INCORPORATED	16650	>Investment Counsel & Portfolio Manager
ENRICHED INVESTING INCORPORATED	16650	>Limited Market Dealer
ENSIGN CAPITAL INC.	17660	>Limited Market Dealer
ENTERPRISE CAPITAL MANAGEMENT INC.	7010	>Limited Market Dealer & Investment Counsel & Portfolio Manager
EOSPHOROS ASSET MANAGEMENT INCORPORATED	17250	>Limited Market Dealer & Investment Counsel & Portfolio Manager
EPIC CAPITAL MANAGEMENT INC.	12330	>Limited Market Dealer & Investment Counsel & Portfolio Manager
EPOCH INVESTMENT PARTNERS, INC.	29130	>International Adviser (Investment Counsel & Portfolio Manager)
EQUIGENESIS CORPORATION	6160	>Limited Market Dealer
EQUILIBRIUM CAPITAL MANAGEMENT INC.	12110	>Limited Market Dealer & Investment Counsel & Portfolio Manager
EQUILIFE INVESTMENT MANAGEMENT INC.	8160	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager
EQUITY ASSOCIATES INC.	6940	>Mutual Fund Dealer & Limited Market Dealer
EQUITY SECURITIES INC.	26040	>Limited Market Dealer
ERNST & YOUNG ORENDA CORPORATE FINANCE INC./CONSEIL EN FINANCEMENT ERNST & YOUNG ORENDA INC.	5670	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
ESN NORTH AMERICA, INC.	9600	>International Dealer
ESSEX INVESTMENT MANAGEMENT COMPANY, LLC	10970	>International Adviser (Investment Counsel & Portfolio Manager)
ETF CAPITAL MANAGEMENT	25780	>Investment Counsel & Portfolio Manager
ETF CAPITAL MANAGEMENT	25780	>Limited Market Dealer
ETS EQUITIES TRADING SERVICES INC.	1250	>Limited Market Dealer
EUROGLOBAL CAPITAL PARTNERS INC.	23350	>Limited Market Dealer
EVAN S. SONE FINANCIAL MANAGEMENT INC.	3530	>Limited Market Dealer
EVANGELINE SECURITIES LIMITED	11640	>Mutual Fund Dealer
EVEREST FINANCIAL PLANNING INC.	4960	>Mutual Fund Dealer
EVERGREEN INVESTMENT MANAGEMENT COMPANY, LLC	6120	>International Adviser (Investment Counsel & Portfolio Manager)
EWEN MACKENZIE INVESTMENT ADVISORS LTD.	2460	>Investment Counsel
EXANE, INC.	28500	>International Dealer
EXCALIBUR CAPITAL MANAGEMENT INC.	25840	>Investment Counsel & Portfolio Manager
EXCEL FINANCIAL GROWTH INC.	9250	>Limited Market Dealer
EXCEL FINANCIAL GROWTH INC.	9250	>Mutual Fund Dealer
EXECUTION, LLC	26120	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
F&C MANAGEMENT LIMITED	5210	>International Adviser (Investment Counsel & Portfolio Manager)
F.L. SECURITIES INC.	1430	>Limited Market Dealer
F.W. THOMPSON CO. LIMITED	3610	>Investment Counsel & Portfolio Manager
FADINE ENTERPRISES LIMITED	5010	>Limited Market Dealer
FAIRCOURT ASSET MANAGEMENT INC.	21330	>Limited Market Dealer
FAIRCOURT ASSET MANAGEMENT INC.	21330	>Investment Counsel & Portfolio Manager
FAIRLANE ASSET MANAGEMENT LIMITED	15620	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
FAIRVIEW SECURITIES, INC.	4590	>International Dealer
FAMILY INVESTMENT PLANNING INC.	10760	>Mutual Fund Dealer & Limited Market Dealer
FAMILY WEALTH ADVISORS LTD.	11700	>Mutual Fund Dealer
FAP USA, L. P.	28700	>International Dealer
FAR HILLS GROUP, LLC	17040	>Limited Market Dealer
FAYEZ SAROFIM & CO.	8180	>International Adviser (Investment Counsel & Portfolio Manager)
FBR CAPITAL MARKETS & CO.	1420	>International Dealer
FI CAPITAL LTD.	23110	>Limited Market Dealer & Investment Counsel & Portfolio Manager
FIDELITY INVESTMENTS CANADA ULC / INVESTISSEMENTS FIDELITY CANADA	17240	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
FIDELITY RETIREMENT SERVICES COMPANY OF CANADA LIMITED / COMPAGNIE DE SERVICES DE RETRAITE FIDELITY DU CANADA LIMITEE	16360	>Mutual Fund Dealer
FIDUCIARY INTERNATIONAL, INC.	10220	>International Adviser (Investment Counsel & Portfolio Manager)
FIDUCIARY TRUST COMPANY OF CANADA	17980	>Investment Counsel & Portfolio Manager
FIERA CAPITAL INC.	24360	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
FINANCIAL DECISIONS INC.	8170	>Mutual Fund Dealer & Limited Market Dealer
FINANCIAL SERVICES GENESIS INC.	26930	>Limited Market Dealer
FINCH ASSET MANAGEMENT INC.	9440	>Limited Market Dealer & Investment Counsel & Portfolio Manager
FIRST AFFILIATED SECURITIES INC.	1410	>Mutual Fund Dealer & Limited Market Dealer
FIRST ANALYSIS SECURITIES CORPORATION	9740	>International Dealer
FIRST ASSET INVESTMENT MANAGEMENT INC.	8190	>Limited Market Dealer
FIRST ASSET INVESTMENT MANAGEMENT INC.	8190	>Commodity Trading Manager
FIRST ASSET INVESTMENT MANAGEMENT INC.	8190	>Investment Counsel & Portfolio Manager
FIRST CANADA CAPITAL PARTNERS INC.	18380	>Investment Dealer
FIRST CANADIAN CAPITAL MARKETS LTD.	20940	>Limited Market Dealer
FIRST CANADIAN PROPERTY INVESTMENTS LTD.	4060	>Limited Market Dealer
FIRST CLEARING, LLC	17490	>International Dealer
FIRST DEFINED PORTFOLIO MANAGEMENT CO.	5300	>Mutual Fund Dealer
FIRST FINANCIAL SECURITIES INC.	15230	>Investment Dealer
FIRST LEASIDE SECURITIES INC.	15940	>Investment Dealer
FIRST QUADRANT, L.P.	7880	>International Adviser (Investment Counsel & Portfolio Manager)
FIRST REPUBLIC CAPITAL CORPORATION	27270	>Limited Market Dealer
FIRST STATE INVESTMENTS INTERNATIONAL LIMITED	23330	>International Adviser (Investment Counsel & Portfolio Manager)
FIRST SWISS FINANCIAL CORP.	21630	>Limited Market Dealer
FIRST TRUST ADVISORS L.P.	4670	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
FIRSTENERGY CAPITAL CORP. / CORPORATION FIRSTENERGY CAPITAL	4510	>Broker & Investment Dealer
FIRSTPOINT VENTURE CAPITAL INC.	24260	>Limited Market Dealer
FIRSTPORT CAPITAL CORP.	28970	>Limited Market Dealer
FISCHER FRANCIS TREES & WATTS, INC.	5080	>International Adviser (Investment Counsel & Portfolio Manager)
FISHER ASSET MANAGEMENT, LLC	21170	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
FLATIRON CAPITAL MANAGEMENT PARTNERS	17020	>Limited Market Dealer & Investment Counsel & Portfolio Manager
FORD CREDIT CANADA LIMITED	1370	>Limited Market Dealer
FORMULA GROWTH LIMITED / FORMULA GROWTH, SOCIETE LIMITEE	17160	>Limited Market Dealer
FORSTAR CAPITAL LIMITED	24280	>Limited Market Dealer
FORT HOUSE INC.	11330	>Investment Dealer
FORTIS CLEARING AMERICAS, LLC	25320	>International Dealer
FORTIS INVESTMENT MANAGEMENT CANADA LTD.	7930	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
FORUM CAPITAL SECURITIES LLC	23280	>International Dealer
FOSTER & ASSOCIATES FINANCIAL SERVICES INC./ SERVICES FINANCIERS FOSTER & ASSOCIES	5000	>Broker & Investment Dealer
FOUNDATION MARKETS INC.	22830	>Limited Market Dealer
FOVERE INVESTMENTS INC.	23730	>Limited Market Dealer
FOX-DAVIES CAPITAL INC.	27180	>Limited Market Dealer
FOX-PITT KELTON COCHRAN CARONIA WALLER (USA) LLC	9690	>International Dealer
FOYSTON, GORDON & PAYNE INC.	1290	>Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
FRANKLIN ADVISERS, INC.	7760	>International Adviser (Investment Counsel & Portfolio Manager)
FRANKLIN ADVISORY SERVICES, LLC	23490	>International Adviser (Investment Counsel & Portfolio Manager)
FRANKLIN MUTUAL ADVISERS, LLC	7720	>International Adviser (Investment Counsel & Portfolio Manager)
FRANKLIN TEMPLETON INVESTMENTS CORP./SOCIETE DE PLACEMENTS FRANKLIN TEMPLETON	3600	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager
FRASER MACKENZIE LIMITED	4840	>Investment Dealer
FREEDOM INTERNATIONAL BROKERAGE COMPANY	1360	>Limited Market Dealer
FRESNO SECURITIES INC.	20680	>Limited Market Dealer
FRIEDBERG MERCANTILE GROUP LTD. / GROUPE FRIEDBERG MERCANTILE	1310	>Investment Dealer & Futures Commission Merchant
FRIGATE VENTURES LP	24000	>Limited Market Dealer
FRIGATE VENTURES LP	24000	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
FRM AMERICAS LLC	24660	>Limited Market Dealer
FRM INVESTMENT MANAGEMENT (AMERICAS) LIMITED	26250	>International Adviser (Investment Counsel & Portfolio Manager)
FRONT STREET INVESTMENT MANAGEMENT INC.	14700	>Limited Market Dealer & Investment Counsel & Portfolio Manager
FRONTWATER CAPITAL INC.	29200	>Investment Counsel & Portfolio Manager
FRONTWATER CAPITAL INC.	29200	>Limited Market Dealer
FRONTWATER CAPITAL INC.	29200	>Commodity Trading Manager
FTC INVESTOR SERVICES INC. / SERVICES AUX INVESTISSEURS FTC INC.	18200	>Mutual Fund Dealer
FTN FINANCIAL SECURITIES CORP.	25190	>International Dealer
FULCRA ASSET MANAGEMENT INC.	28420	>Investment Counsel & Portfolio Manager

May/15/2009
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List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
FULL CYCLE ENERGY INVESTMENT MANAGEMENT LIMITED	15740	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
FULLER & THALER ASSET MANAGEMENT, INC.	27190	>International Adviser (Investment Counsel & Portfolio Manager)
FUNDEX INVESTMENTS INC.	24080	>Mutual Fund Dealer & Limited Market Dealer
FUNDS DIRECT CANADA INC.	13520	>Mutual Fund Dealer
FUTUREWORTH FINANCIAL PLANNERS CORP.	15200	>Mutual Fund Dealer
FWM SECURITIES INC.	25430	>Commodity Trading Manager
FWM SECURITIES INC.	25430	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
G.I. CAPITAL CORP.	18920	>Limited Market Dealer
G.I. CAPITAL CORP.	18920	>Investment Counsel & Portfolio Manager
GALILEO GLOBAL EQUITY ADVISORS INC.	9470	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GAM USA INC.	4230	>International Adviser (Investment Counsel & Portfolio Manager)
GAMCO ASSET MANAGEMENT INC.	9280	>International Adviser (Investment Counsel & Portfolio Manager)
GARMAISE INVESTMENT TECHNOLOGIES INC.	1520	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GARRISON HILL CAPITAL MANAGEMENT INC.	27970	>Commodity Trading Manager
GARRISON HILL CAPITAL MANAGEMENT INC.	27970	>Investment Counsel & Portfolio Manager
GARRISON HILL CAPITAL MANAGEMENT INC.	27970	>Limited Market Dealer
GARTMORE INVESTMENT LIMITED	6770	>International Dealer
GARTMORE INVESTMENT LIMITED	6770	>International Adviser (Investment Counsel & Portfolio Manager)
GARY BEAN SECURITIES LTD.	6700	>Investment Dealer
GBC ASSET MANAGEMENT INC.	1560	>Mutual Fund Dealer
GE ASSET MANAGEMENT CANADA COMPANY	10620	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GE ASSET MANAGEMENT INCORPORATED	3970	>International Adviser (Investment Counsel & Portfolio Manager)
GE CAPITAL MARKETS (CANADA) LTD./GE MARCHES FINANCIERS (CANADA) LTEE	24900	>Limited Market Dealer
GEMINI ASSET MANAGEMENT INC.	22950	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GENERAL MOTORS ACCEPTANCE CORPORATION OF CANADA LIMITED	1440	>Securities Issuer
GENERAL RE-NEW ENGLAND ASSET MANAGEMENT, INC.	6460	>International Adviser (Investment Counsel & Portfolio Manager)
GENEVA CAPITAL MANAGEMENT LTD.	26190	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
GENEVA MERGER & ACQUISITION SERVICES OF CANADA (ONT.) INC.	7210	>Limited Market Dealer
GENOVA PRIVATE MANAGEMENT INC.	24030	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GENSTAR INVESTMENT GROUP INC.	25820	>Limited Market Dealer
GENTREE ASSET MANAGEMENT INC.	24500	>Commodity Trading Manager
GENTREE ASSET MANAGEMENT INC.	24500	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GENUITY CAPITAL MARKETS/MARCHES DES CAPITAUX GENUITY	18700	>Investment Dealer
GENUITY FUND MANAGEMENT INC	28600	>Investment Counsel & Portfolio Manager
GENUITY FUND MANAGEMENT INC	28600	>Limited Market Dealer
GENUS CAPITAL MANAGEMENT INC.	4520	>Extra-Provincial Investment Counsel & Portfolio Manager
GEORGESON SHAREHOLDER COMMUNICATIONS CANADA INC.	16590	>Limited Market Dealer
GERSAN CAPITAL CORP.	22710	>Limited Market Dealer
GESTION CRISTALLIN INC./CRYSTALLINE MANAGEMENT INC.	18620	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
GESTION D'ACTIFS HOLDUN INC. / HOLDUN ASSET MANAGEMENT INC.	23160	>Investment Counsel & Portfolio Manager
GESTION D'ACTIFS LESTER INC. / LESTER ASSET MANAGEMENT INC.	19800	>Extra-Provincial Investment Counsel & Portfolio Manager
GESTION D'ACTIFS NOMURA USA INC. / NOMURA ASSET MANAGEMENT U.S.A. INC.	20010	>International Adviser (Investment Counsel & Portfolio Manager)
GESTION D'ACTIFS SYNAT INC./SYNAT ASSET MANAGEMENT INC.	24330	>Extra-Provincial Investment Counsel & Portfolio Manager
GESTION DE CAPITAUX ROTHENBERG INC. / ROTHENBERG CAPITAL MANAGEMENT INC.	5170	>Investment Dealer
GESTION DE PLACEMENTS HELENE DION INC./HELENE DION INVESTMENT MANAGEMENT INC.	26350	>Investment Counsel & Portfolio Manager
GESTION DE PLACEMENTS INNOCAP INC./INNOCAP INVESTMENT MANAGEMENT INC.	19040	>Limited Market Dealer
GESTION DE PLACEMENTS INNOCAP INC./INNOCAP INVESTMENT MANAGEMENT INC.	19040	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
GESTION DE PORTEFEUILLE TRIASIMA INC./TRIASIMA PORTFOLIO MANAGEMENT INC.	13610	>Extra-Provincial Investment Counsel & Portfolio Manager
GESTION PALOS INC. / PALOS MANAGEMENT INC.	19640	>Limited Market Dealer
GESTION PEMBROKE LTEE / PEMBROKE MANAGEMENT LTD.	18250	>Extra-Provincial Investment Counsel & Portfolio Manager
GESTION PLACEMENTS DESJARDINS INC./DESJARDINS INVESTMENT MANAGEMENT INC.	4310	>Extra-Provincial Investment Counsel & Portfolio Manager
GFI INVESTMENT COUNSEL LTD.	25030	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GIC FINANCIAL SERVICES INC.	3580	>Mutual Fund Dealer & Limited Market Dealer
GILLFORD CAPITAL INC.	29350	>Limited Market Dealer
GINSORG INTERNATIONAL INC.	13120	>Limited Market Dealer
GIRAFFE CAPITAL CORPORATION	8790	>Investment Counsel & Portfolio Manager
GIVERNY CAPITAL INC.	17580	>Extra-Provincial Investment Counsel & Portfolio Manager
GLEACHER FUND ADVISORS LP	26380	>Limited Market Dealer
GLEACHER FUND ADVISORS LP	26380	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
GLICKENHAUS & CO.	7670	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
GLOBAL ALPHA CAPITAL MANAGEMENT LTD.	21230	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GLOBAL CAPITAL PARTNERS INC.	11160	>Limited Market Dealer
GLOBAL EDUCATIONAL MARKETING CORPORATION / CORPORATION DE DISTRIBUTION DES FONDS D'EDUCATION GLOBALE	7410	>Scholarship Plan Dealer
GLOBAL HUNTER SECURITIES, LLC	28000	>International Dealer
GLOBAL MAXFIN CAPITAL INC.	7250	>Investment Dealer
GLOBAL MAXFIN INVESTMENTS INC. / LES INVESTISSEMENTS GLOBAL MAXFIN INC.	9080	>Scholarship Plan Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
GLOBAL MAXFIN INVESTMENTS INC. / LES INVESTISSEMENTS GLOBAL MAXFIN INC.	9080	>Mutual Fund Dealer & Limited Market Dealer
GLOBAL MAXFIN INVESTMENTS INC. / LES INVESTISSEMENTS GLOBAL MAXFIN INC.	9080	>Mutual Fund Dealer, Limited Market Dealer, & Scholarship Plan Dealer
GLOBAL SECURITIES CORPORATION / SOCIETE DE VALEURS GLOBAL INC.	6670	>Broker & Investment Dealer
GLOBAL WEALTH BUILDERS LTD.	14400	>Extra-Provincial Investment Counsel & Portfolio Manager
GLOBEFLEX CAPITAL, LP	9650	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
GLOBEINVEST CAPITAL MANAGEMENT INC.	5440	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GLUSKIN SHEFF + ASSOCIATES INC.	1450	>Mutual Fund Dealer & Limited Market Dealer & Investment Counsel & Portfolio Manager
GMP INVESTMENT MANAGEMENT L.P.	26370	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GMP PRIVATE CLIENT L.P. / GMP GESTION PRIVEE S.E.C.	21970	>Investment Dealer
GMP SECURITIES L.P./ GMP VALEURS MOBILIERES S.E.C.	21980	>Investment Dealer
GOLD INVESTMENT MANAGEMENT LTD.	26490	>Investment Counsel & Portfolio Manager
GOLDMAN SACHS ASSET MANAGEMENT, L.P. / GESTION D'ACTIFS GOLDMAN SACHS LP	13930	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
GOLDMAN SACHS CANADA INC.	9270	>Investment Dealer
GOLDMAN SACHS EXECUTION & CLEARING, L.P.	11510	>Limited Market Dealer
GOLDMAN SACHS EXECUTION & CLEARING, L.P.	11510	>International Dealer
GOLDMAN SACHS HEDGE FUND STRATEGIES LLC	13150	>International Adviser (Investment Counsel & Portfolio Manager)
GOLDMAN SACHS INTERNATIONAL	5070	>International Dealer
GOLDMAN, SACHS & CO.	1580	>Limited Market Dealer
GOLDMAN, SACHS & CO.	1580	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
GOLDSTEIN FINANCIAL INVESTMENTS INC.	7030	>Mutual Fund Dealer & Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
GOODBODY STOCKBROKERS	21700	>International Dealer
GOODMAN & COMPANY, DEALER SERVICES INC.	2660	>Mutual Fund Dealer
GOODMAN & COMPANY, INVESTMENT COUNSEL LTD./GOODMAN & COMPANY, CONSEIL EN PLACEMENT LTEE	1540	>Commodity Trading Manager
GOODMAN & COMPANY, INVESTMENT COUNSEL LTD./GOODMAN & COMPANY, CONSEIL EN PLACEMENT LTEE	1540	>Investment Counsel & Portfolio Manager
GOODMAN INSTITUTIONAL INVESTMENTS INC.	12810	>Limited Market Dealer
GOODREID INVESTMENT COUNSEL CORP./CONSEILLERS EN PLACEMENT GOODREID CORP.	9750	>Investment Counsel & Portfolio Manager
GOODWOOD INC.	9140	>Investment Dealer
GP WEALTH MANAGEMENT CORPORATION	7990	>Mutual Fund Dealer & Limited Market Dealer
GRANITE ASSOCIATES LTD.	12580	>Limited Market Dealer
GRANT THORNTON CORPORATE FINANCE INC.	10650	>Limited Market Dealer
GRANTHAM, MAYO, VAN OTTERLOO & CO. LLC	12890	>International Adviser (Investment Counsel & Portfolio Manager)
GRAYLIE MANAGEMENT LIMITED	4240	>Investment Counsel & Portfolio Manager
GREENLEAF GROUP INC.	4050	>Limited Market Dealer
GREENROCK ASSET MANAGEMENT LTD.	27650	>Limited Market Dealer & Investment Counsel & Portfolio Manager
GREYSTONE MANAGED INVESTMENTS INC./ GESTION DE PLACEMENTS GREYSTONE	2370	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
GRN CAPITAL INC.	22420	>Limited Market Dealer
GROSVENOR SECURITIES LLC	25210	>International Dealer
GROUNDLAYER CAPITAL INC.	12640	>Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
GRUPE CLOUTIER INVESTISSEMENTS INC.	24770	>Mutual Fund Dealer
GROWTH WORKS CAPITAL LTD.	14600	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager
GROWTHQUEST CAPITAL INC.	7900	>Investment Counsel & Portfolio Manager
GRYPHON CAPITAL CORPORATION/CORPORATION GRYPHON CAPITAL	5880	>Limited Market Dealer
GRYPHON INTERNATIONAL INVESTMENT CORPORATION/CORPORATION PLACEMENT GRYPHON INTERNATIONAL	5780	>Investment Counsel & Portfolio Manager
GRYPHON INVESTMENT COUNSEL INC. / CONSEILLERS EN PLACEMENTS GRYPHON INC.	1480	>Investment Counsel & Portfolio Manager
G-TRADE SERVICES LLC	25400	>International Dealer
GUARDIAN CAPITAL ADVISORS LP	17640	>Investment Counsel & Portfolio Manager
GUARDIAN CAPITAL LP / SOCIETE EN COMMANDITE GUARDIAN CAPITAL	17650	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
GUARDIAN CAPITAL LP / SOCIETE EN COMMANDITE GUARDIAN CAPITAL	17650	>Investment Counsel & Portfolio Manager
GUARDIAN GROUP OF FUNDS LTD./GGOF INVESTMENT MANAGEMENT	1510	>Mutual Fund Dealer & Limited Market Dealer
GUGGENHEIM CAPITAL MARKETS, LLC	8560	>International Dealer
GUNDY INC.	1600	>Limited Market Dealer
GWL INVESTMENT MANAGEMENT LTD.	1460	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
H & H SECURITIES LIMITED	4970	>Limited Market Dealer
H. REDLICK CONSULTING INC.	29180	>Limited Market Dealer
HAHN INVESTMENT STEWARDS & COMPANY INC.	12120	>Extra-Provincial Investment Counsel & Portfolio Manager
HALLMARK CAPITAL CORPORATION	25470	>Limited Market Dealer
HAMBLIN WATSA INVESTMENT COUNSEL LTD.	1610	>Investment Counsel & Portfolio Manager
HAMILTON LANE ADVISORS, L.L.C.	21310	>International Adviser (Investment Counsel & Portfolio Manager)
HAMPTON SECURITIES LIMITED	2890	>Broker & Investment Dealer
HANBURY MANAGEMENT LTD.	16320	>Limited Market Dealer
HANCOCK NATURAL RESOURCE GROUP, INC.	18710	>International Adviser (Investment Counsel & Portfolio Manager)
HANOVER PRIVATE CLIENT CORPORATION	8910	>Investment Counsel & Portfolio Manager
HANSBERGER GLOBAL INVESTORS, INC.	8840	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
HAPOALIM SECURITIES USA, INC.	6580	>International Dealer
HARBOR GROUP CANADA INC.	25410	>Limited Market Dealer
HARBOURCASTLE CAPITAL INC.	24510	>Limited Market Dealer
HARDING LOEVNER LLC	7520	>International Adviser (Investment Counsel & Portfolio Manager)
HARGREAVE HALE LIMITED	22550	>Limited Market Dealer
HARP CAPITAL CORP.	22600	>Limited Market Dealer
HARRIS ASSOCIATES L.P.	9410	>International Adviser (Investment Counsel & Portfolio Manager)
HARRIS BROWN & PARTNERS LIMITED	26110	>Limited Market Dealer
HARRIS INVESTMENT MANAGEMENT, INC.	7800	>Commodity Trading Manager (Non-Resident)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
HARRIS INVESTMENT MANAGEMENT, INC.	7800	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
HARRIS INVESTMENT MANAGEMENT, INC.	7800	>International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
HARROW PARTNERS LTD. / HARROW & ASSOCIES	20990	>Extra-Provincial Investment Counsel & Portfolio Manager
HARTFORD INVESTMENTS CANADA CORP.	9520	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HARVARD INVESTMENT GROUP LTD.	15630	>Limited Market Dealer
HAYWOOD SECURITIES INC. / VALEURS MOBILIERES HAYWOOD INC.	1630	>Broker & Investment Dealer
HD AGENCY INC.	23260	>Limited Market Dealer
HDL CAPITAL CORPORATION	4690	>Limited Market Dealer
HEATHBRIDGE CAPITAL MANAGEMENT LTD.	7680	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HELVEA INC.	20810	>Limited Market Dealer
HELVEA SA	24250	>International Dealer
HEMISPHERE CAPITAL MANAGEMENT INC.	13510	>Extra-Provincial Investment Counsel & Portfolio Manager
HENDERSON GLOBAL INVESTORS EQUITY PLANNING INC.	28230	>Limited Market Dealer
HENLEY ASSET MANAGEMENT LIMITED	9950	>Investment Counsel & Portfolio Manager
HENLEY CAPITAL CORPORATION	9900	>Limited Market Dealer
HERITAGE EDUCATION FUNDS INC./FONDS D'EDUCATION HERITAGE INC.	560	>Scholarship Plan Dealer
HERSHAW & ASSOCIATES INVESTMENT COUNSEL INC.	17900	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HESPERIAN CAPITAL MANAGEMENT LTD.	11210	>Extra-Provincial Investment Counsel & Portfolio Manager
HEXAVEST INC.	18060	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
HGK ASSET MANAGEMENT, INC.	8590	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
HIGHBRIDGE FINANCIAL ADVISORS, INC.	9400	>Investment Counsel & Portfolio Manager
HIGHSTREET ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS HIGHSTREET	7960	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
HIGHWATER CAPITAL MANAGEMENT CORP.	26420	>Commodity Trading Manager
HIGHWATER CAPITAL MANAGEMENT CORP.	26420	>Investment Counsel & Portfolio Manager
HIGHWATER CAPITAL MANAGEMENT CORP.	26420	>Limited Market Dealer
HILL & CRAWFORD INVESTMENT MANAGEMENT GROUP LIMITED	7510	>Mutual Fund Dealer
HILL & GERTNER CAPITAL CORPORATION	12650	>Limited Market Dealer
HILLSDALE INVESTMENT MANAGEMENT INC.	6130	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HIM MONEGY, INC.	16830	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HKC SECURITIES, INC.	13320	>International Dealer
HMW CAPITAL INC.	26800	>Limited Market Dealer
HOME INVESTMENT MANAGEMENT INC.	26070	>Investment Counsel & Portfolio Manager
HORIZON 360° ET ASSOCIES INC.	19880	>Investment Counsel & Portfolio Manager
HORIZONONE ASSET MANAGEMENT INC.	20370	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HOTTINGER ASSET MANAGEMENT CANADA INC.	12680	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HOWARD, BARCLAY & ASSOCIATES LTD.	4600	>Investment Counsel & Portfolio Manager
HOWELL INVESTMENT MANAGEMENT INC.	10140	>Investment Counsel & Portfolio Manager
HOWSON TATTERSALL INVESTMENT COUNSEL LIMITED	28990	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HSBC GLOBAL ASSET MANAGEMENT (CANADA) LIMITED. / GESTION GLOBALE D'ACTIFS HSBC (CANADA) LIMITEE	3840	>Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
HSBC INVESTMENT FUNDS (CANADA) INC./FONDS D'INVESTISSEMENT HSBC (CANADA) INC.	1680	>Mutual Fund Dealer
HSBC SECURITIES (CANADA) INC./ VALEURS MOBILIERES HSBC (CANADA) INC.	17220	>Broker & Investment Dealer
HSBC SECURITIES (USA) INC.	4640	>International Dealer
HSC ASSET MANAGEMENT INC.	24110	>Limited Market Dealer
HUB CAPITAL INC. / CAPITAL HUB INC.	12100	>Mutual Fund Dealer & Limited Market Dealer
HUGHESLITTLE INVESTMENT MANAGEMENT LTD.	21050	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
HUTTON INVESTMENT COUNSEL INC.	1670	>Investment Counsel & Portfolio Manager
HYMAS INVESTMENT MANAGEMENT INC.	10260	>Limited Market Dealer & Investment Counsel & Portfolio Manager
HYPERION BROOKFIELD ASSET MANAGEMENT, INC.	21490	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
I.A. MICHAEL INVESTMENT COUNSEL LTD.	2270	>Limited Market Dealer & Investment Counsel & Portfolio Manager
I.G. INVESTMENT MANAGEMENT, LTD. / SOCIETE DE GESTION D'INVESTISSEMENT, I.G. LTEE	25370	>Investment Counsel & Portfolio Manager
I3 ADVISORS INC. INFORMATION, INNOVATION AND INDEPENDENCE	5810	>Investment Counsel
IBK CAPITAL CORP.	1790	>Limited Market Dealer
ICAP ELECTRONIC BROKING LLC	12360	>International Dealer
ICAP SECURITIES USA LLC	16290	>International Dealer
ICICI WEALTH MANAGEMENT INC./GESTION DE PATRIMOINE ICICI INC.	24710	>Limited Market Dealer
ICON SYNDICATIONS INC.	27090	>Limited Market Dealer
IIG HORIZONS SECURITIES LLC	18680	>International Dealer
IMPERIAL CAPITAL CORPORATION	13460	>Limited Market Dealer
IMPERIAL CAPITAL, LLC	21060	>International Dealer
INDEPENDENCE INVESTMENTS LLC	23340	>International Adviser (Investment Counsel & Portfolio Manager)
INDEPENDENT ACCOUNTANTS' INVESTMENT COUNSEL INC.	9420	>Investment Counsel & Portfolio Manager
INDEPENDENT ACCOUNTANTS' INVESTMENT GROUP INC.	9160	>Mutual Fund Dealer
INDEPENDENT EQUITY RESEARCH CORP	9910	>Limited Market Dealer
INDEPENDENT EQUITY RESEARCH CORP	9910	>Securities Adviser
INDEPENDENT PLANNING GROUP INC./GROUPE INDEPENDANT DE PLANIFICATION INC.	4890	>Mutual Fund Dealer & Limited Market Dealer
INDEPENDENT TRADING GROUP	4040	>Broker & Investment Dealer
INDUSTRIELLE ALLIANCE GESTION DE PLACEMENTS INC. / INDUSTRIAL ALLIANCE, INVESTMENT MANAGEMENT INC.	18340	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
INDUSTRIELLE ALLIANCE VALEURS MOBILIERES INC. / INDUSTRIAL ALLIANCE SECURITIES INC.	15400	>Investment Dealer
INFINIUM CAPITAL CORPORATION	15680	>Investment Dealer & Futures Commission Merchant
INFO FINANCIAL CONSULTING GROUP INC.	1740	>Mutual Fund Dealer & Limited Market Dealer
ING CLARION REAL ESTATE SECURITIES, L.P.	23000	>International Adviser (Investment Counsel & Portfolio Manager)
ING DIRECT ASSET MANAGEMENT LIMITED/ING DIRECT GESTION DE PLACEMENTS LIMITEE	26280	>Investment Counsel & Portfolio Manager
ING DIRECT FUNDS LIMITED	2570	>Mutual Fund Dealer
ING FINANCIAL MARKETS LLC	11990	>International Dealer
ING INVESTMENT MANAGEMENT CO.	11530	>International Adviser (Investment Counsel & Portfolio Manager)
ING INVESTMENT MANAGEMENT SERVICES LLC	28100	>International Dealer
INHANCE INVESTMENT MANAGEMENT INC.	10810	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
INLAND SECURITIES CORPORATION	20610	>International Dealer
INNERKIP CAPITAL MANAGEMENT INC.	18990	>Limited Market Dealer & Investment Counsel & Portfolio Manager
INSIGHT INVESTMENT MANAGEMENT (GLOBAL) LIMITED	3140	>Limited Market Dealer
INSIGHT INVESTMENT MANAGEMENT (GLOBAL) LIMITED	3140	>International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
INSTINET CANADA LIMITED	4020	>Broker & Investment Dealer
INTACT INVESTMENT MANAGEMENT INC./INTACT GESTION DE PLACEMENTS INC.	7600	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
INTECH INVESTMENT MANAGEMENT LLC	16260	>International Adviser (Investment Counsel & Portfolio Manager)
INTEGRA CAPITAL CORPORATION	5350	>Mutual Fund Dealer
INTEGRA CAPITAL LIMITED	12240	>Commodity Trading Manager
INTEGRA CAPITAL LIMITED	12240	>Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
INTEGRAL WEALTH SECURITIES LIMITED	310	>Broker & Investment Dealer
INTEGRATED MANAGED FUTURES CORP.	15860	>Limited Market Dealer & Commodity Trading Manager
INTERACTIVE COURTAGE CANADA INC. / INTERACTIVE BROKERS CANADA INC.	11890	>Investment Dealer & Futures Commission Merchant
INTERGLOBE FINANCIAL SERVICES CORP.	1710	>Mutual Fund Dealer & Limited Market Dealer
INTERNATIONAL ADVISORY SERVICES GROUP (IASG) ULC.	28880	>Investment Dealer
INTERNATIONAL CAPITAL MANAGEMENT INC.	5480	>Mutual Fund Dealer & Limited Market Dealer
INTERNATIONAL STRATEGY & INVESTMENT GROUP INC.	1720	>International Adviser (Investment Counsel & Portfolio Manager)
INTERPOSE SAULT INCORPORATED	1780	>Limited Market Dealer
INTERWARD ASSET MANAGEMENT LTD.	21590	>Investment Counsel & Portfolio Manager
INTREPID EQUITY FINANCE LTD.	21650	>Limited Market Dealer
INTRODUCTION CAPITAL INC.	20380	>Limited Market Dealer
INVERLOCHY CAPITAL LTD.	22800	>Investment Counsel & Portfolio Manager
INVESCO AIM PRIVATE ASSET MANAGEMENT, INC.	16990	>International Adviser (Investment Counsel & Portfolio Manager)
INVESCO INSTITUTIONAL (N.A.), INC.	13060	>International Adviser (Investment Counsel & Portfolio Manager)
INVESCO TRIMARK DEALER INC./COURTAGE INVESCO TRIMARK INC.	12970	>Mutual Fund Dealer
INVESCO TRIMARK LTD./INVESCO TRIMARK LTEE	4850	>Limited Market Dealer & Investment Counsel & Portfolio Manager
INVESTEC ASSET MANAGEMENT LIMITED	27700	>International Adviser (Investment Counsel & Portfolio Manager)
INVESTEC SECURITIES (US) LLC	25250	>International Dealer
INVESTECO CAPITAL CORP.	29150	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
INVESTECO FINANCIAL CORP.	25690	>Limited Market Dealer
INVESTECO FINANCIAL CORP.	25690	>Investment Counsel & Portfolio Manager
INVESTIA FINANCIAL SERVICES INC. / INVESTIA SERVICES FINANCIERS INC.	8490	>Mutual Fund Dealer & Limited Market Dealer
INVESTISSEMENTS STANDARD LIFE INC. /STANDARD LIFE INVESTMENTS INC.	3270	>Limited Market Dealer
INVESTISSEMENTS STANDARD LIFE INC. /STANDARD LIFE INVESTMENTS INC.	3270	>Investment Counsel & Portfolio Manager
INVESTMENT ALLOCATION INTERNATIONAL INC.	1760	>Investment Counsel & Portfolio Manager
INVESTMENT FINANCIAL GROUP INC.	4500	>Mutual Fund Dealer & Limited Market Dealer
INVESTMENT STRATEGIES INC.	23560	>Investment Counsel & Portfolio Manager
INVESTOR RESOURCES GROUP, LLC	26130	>International Adviser (Investment Counsel & Portfolio Manager)
INVESTORS GROUP FINANCIAL SERVICES INC./ SERVICES FINANCIERS GROUPE INVESTORS INC.	22380	>Mutual Fund Dealer & Limited Market Dealer
INVESTORS GROUP SECURITIES INC./VALEURS MOBILIERES GROUPE INVESTORS INC.	5760	>Investment Dealer
INVICO CAPITAL CORPORATION	22310	>Limited Market Dealer
IONIC SECURITIES LTD.	18190	>Limited Market Dealer
IPC INVESTMENT CORPORATION	5650	>Mutual Fund Dealer & Limited Market Dealer
IPC SECURITIES CORPORATION / IPC VALEURS MOBILIERES	8780	>Investment Dealer
IRIDIAN ASSET MANAGEMENT LLC / GESTION D'ACTIFS IRIDIAN	11040	>International Adviser (Investment Counsel & Portfolio Manager)
ITG CANADA CORP.	9780	>Investment Dealer & Futures Commission Merchant
ITG INC.	1770	>International Dealer
ITTIHAD SECURITIES INC.	23640	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
J. ZECHNER ASSOCIATES INC.	4160	>Limited Market Dealer & Investment Counsel & Portfolio Manager
J.C. HOOD INVESTMENT COUNSEL INC.	10230	>Investment Counsel & Portfolio Manager
J.F. MACKIE & COMPANY LTD.	10770	>Broker & Investment Dealer
J.P. MORGAN CLEARING CORP.	10560	>International Dealer
J.P. MORGAN INVESTMENT MANAGEMENT INC.	2390	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
J.P. MORGAN SECURITIES CANADA INC. / J.P. MORGAN VALEURS MOBILIERES CANADA INC.	2510	>Investment Dealer
J.P. MORGAN SECURITIES INC.	500	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
JACOB & COMPANY SECURITIES INC.	25020	>Limited Market Dealer
JACOBS LEVY EQUITY MANAGEMENT, INC.	20740	>International Adviser (Investment Counsel & Portfolio Manager)
JAMES EDWARD CAPITAL CORPORATION	16500	>Limited Market Dealer
JANUS CAPITAL MANAGEMENT LLC	5790	>International Adviser (Investment Counsel & Portfolio Manager)
JAPA INTERNATIONAL LIMITED	6970	>Investment Counsel & Portfolio Manager
JARISLOWSKY, FRASER LIMITEE / JARISLOWSKY, FRASER LIMITED	5570	>Limited Market Dealer & Investment Counsel & Portfolio Manager
JC CLARK INC.	12060	>Investment Counsel & Portfolio Manager
JC CLARK LTD. / JC CLARK LTEE	10690	>Investment Dealer
JCAP INC.	29110	>Limited Market Dealer
JEFFERIES & COMPANY, INC.	1870	>International Dealer
JEMEKK CAPITAL MANAGEMENT INC.	17950	>Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
JENNINGS CAPITAL INC.	4540	>Investment Dealer
JENSEN INVESTMENT MANAGEMENT, INC.	20840	>International Adviser (Investment Counsel & Portfolio Manager)
JEROME P. GREENE & ASSOCIATES, LLC	12870	>International Dealer
JITNEYTRADE INC.	11470	>Investment Dealer & Futures Commission Merchant
JKES FINANCIAL CORP.	1890	>Limited Market Dealer
JMP SECURITIES LLC.	29410	>International Dealer
JOHNSON RICE AND COMPANY, L.L.C.	18760	>International Dealer
JONES COLLOMBIN INVESTMENT COUNSEL INC. / CONSEILLERS EN PLACEMENTS JONES COLLOMBIN INC.	1840	>Limited Market Dealer & Investment Counsel & Portfolio Manager
JONES HEWARD INVESTMENT COUNSEL INC./JONES HEWARD CONSEILLER EN VALEURS INC.	1850	>Limited Market Dealer & Investment Counsel & Portfolio Manager
JONES, GABLE & COMPANY LIMITED / JONES GABLE & COMPAGNIE LTEE	1800	>Broker & Investment Dealer
JONESTRADING CANADA INC.	28380	>Investment Dealer
JONESTRADING INSTITUTIONAL SERVICES LLC	21380	>International Dealer
JORDAN CAPITAL MARKETS INC.	27750	>Investment Dealer
JORY CAPITAL INC.	9100	>Broker & Investment Dealer
JOVFUNDS INC.	20770	>Limited Market Dealer
JOVINVESTMENT MANAGEMENT INC.	7300	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
JPMORGAN ASSET MANAGEMENT (CANADA) INC./GESTION D'ACTIF JPMORGAN (CANADA) INC.	1270	>Limited Market Dealer & Investment Counsel & Portfolio Manager
JVK LIFE & WEALTH ADVISORY GROUP INC./JVK LIFE & WEALTH ADVISORY GROUP	10160	>Mutual Fund Dealer & Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
K.J. HARRISON & PARTNERS INC	11790	>Investment Dealer
K2 & ASSOCIATES INVESTMENT MANAGEMENT INC.	9230	>Investment Counsel & Portfolio Manager
K2 & ASSOCIATES INVESTMENT MANAGEMENT INC.	9230	>Limited Market Dealer
KASSIRER ASSET MANAGEMENT CORPORATION	10080	>Limited Market Dealer & Investment Counsel & Portfolio Manager
KAYNE ANDERSON RUDNICK INVESTMENT MANAGEMENT, LLC	16660	>International Adviser (Investment Counsel & Portfolio Manager)
KBC ASSET MANAGEMENT INTERNATIONAL LIMITED	15840	>International Adviser (Investment Counsel & Portfolio Manager)
KCS FUND STRATEGIES INC.	17750	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
KEARNS CAPITAL CORPORATION	20780	>Limited Market Dealer
KEEFE, BRUYETTE & WOODS, INC.	18280	>International Dealer
KENSINGTON INVESTMENT MANAGEMENT INC.	7330	>Investment Counsel & Portfolio Manager
KENSINGTON SECURITIES INC.	6170	>Limited Market Dealer
KERNAGHAN SECURITIES LTD.	11370	>Investment Dealer
KEYBANC CAPITAL MARKETS INC.	13440	>International Dealer
KEYBASE FINANCIAL GROUP INC.	4710	>Mutual Fund Dealer & Limited Market Dealer
KILBURN OGILVIE INVESTMENT MANAGEMENT LTD.	17060	>Investment Counsel & Portfolio Manager
KIMELMAN & BAIRD, LLC	23450	>Limited Market Dealer
KIMELMAN & BAIRD, LLC	23450	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
KINETIC RISK MANAGEMENT LTD.	13390	>Limited Market Dealer
KINGMANN INVESTMENTS INC.	26640	>Limited Market Dealer
KINGSDALE CAPITAL MARKETS INC. / MARCHES KINGSDALE CAPITAL INC.	6830	>Investment Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
KINGSMILL CAPITAL PARTNERS INC.	24880	>Limited Market Dealer
KINGSMONT INVESTMENT MANAGEMENT INC.	27610	>Investment Counsel & Portfolio Manager
KINGSWAY CAPITAL OF CANADA INC.	12270	>Limited Market Dealer
KINGTRADE MARKETS INC.	28890	>Limited Market Dealer
KINGWEST & COMPANY / LA SOCIETE KINGWEST ET COMPAGNIE	1930	>Broker & Investment Dealer
KIRCHNER AND COMPANY INC.	20860	>Limited Market Dealer
KIRCHNER INVESTMENT MANAGEMENT CORPORATION	23770	>Limited Market Dealer
KIRCHNER TRANSITION MANAGEMENT INCORPORATED	23930	>Limited Market Dealer
KIRZNER, ERIC F.	1910	>Securities Adviser & Commodity Trading Adviser
KKR CAPITAL MARKETS LLC	28620	>International Dealer
KNIGHT CAPITAL MARKETS LLC	21890	>International Dealer
KNIGHT EQUITY MARKETS, L.P.	21810	>International Dealer
KNIGHT LIBERTAS LLC	25810	>International Dealer
KPMG CORPORATE FINANCE INC./FINANCEMENT CORPORATIF KPMG INC.	6410	>Limited Market Dealer
KV SERVICES LIMITED	25360	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
LA CAISSE CENTRALE DESJARDINS DU QUEBEC	720	>Securities Issuer
LABRANCHE FINANCIAL SERVICES, LLC	6100	>International Dealer
LADENBURG, THALMANN & CO. INC.	6600	>International Dealer
LAKESHORE CAPITAL PARTNERS LIMITED	18510	>Limited Market Dealer & Investment Counsel & Portfolio Manager
LAKESHORE SECURITIES INC.	10580	>Investment Dealer
LAKETON INVESTMENT MANAGEMENT LTD. / PLACEMENTS LAKETON LTEE	4740	>Limited Market Dealer & Investment Counsel & Portfolio Manager
LANDRY MORIN INC.	19940	>Extra-Provincial Investment Counsel & Portfolio Manager
LANGMAIDS ASSET MANAGEMENT INC.	9980	>Limited Market Dealer & Investment Counsel & Portfolio Manager
LAURENCE CAPITAL CORP.	18220	>Limited Market Dealer
LAWRENCE ASSET MANAGEMENT INC.	12690	>Limited Market Dealer
LAWRENCE ASSET MANAGEMENT INC.	12690	>Investment Counsel & Portfolio Manager
LAWTON PARTNERS FINANCIAL PLANNING SERVICES LIMITED	14020	>Mutual Fund Dealer
LAZARD ASSET MANAGEMENT (CANADA), INC. / GESTION D'ACTIFS LAZARD (CANADA)	5740	>Limited Market Dealer
LAZARD ASSET MANAGEMENT (CANADA), INC. / GESTION D'ACTIFS LAZARD (CANADA)	5740	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
LAZARD ASSET MANAGEMENT SECURITIES LLC	16820	>International Dealer
LAZARD CANADA CORPORATION / CORPORATION LAZARD CANADA	15600	>Limited Market Dealer
LAZARD FRERES & CO. LLC.	2060	>Limited Market Dealer
LAZARD FRERES & CO. LLC.	2060	>International Dealer
LBC FINANCIAL SERVICES INC./BLC SERVICES FINANCIERS INC.	5100	>Mutual Fund Dealer
LDIC INC.	8550	>Investment Counsel & Portfolio Manager
LEAGUE ASSETS CORP.	25990	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
LEE MUNDER INVESTMENTS LTD.	17680	>International Adviser (Investment Counsel & Portfolio Manager)
LEE OVERLAY PARTNERS LIMITED	16380	>International Adviser (Investment Counsel & Portfolio Manager)
LEE, TURNER & ASSOCIATES INC.	15070	>Extra-Provincial Investment Counsel & Portfolio Manager
LEEDE FINANCIAL MARKETS INC.	5770	>Investment Dealer
LEERINK SWANN LLC	9830	>International Dealer
LEEWARD HEDGE FUNDS INC.	11000	>Limited Market Dealer & Investment Counsel & Portfolio Manager
LEGACY ASSOCIATES INC.	15520	>Mutual Fund Dealer & Limited Market Dealer
LEGACY INVESTMENT MANAGEMENT INC.	11230	>Mutual Fund Dealer & Limited Market Dealer
LEGENT CLEARING LLC	21460	>International Dealer
LEGG MASON CANADA INC.	6360	>Commodity Trading Manager
LEGG MASON CANADA INC.	6360	>Investment Counsel & Portfolio Manager
LEGG MASON CANADA INC.	6360	>Limited Market Dealer
LEHMAN BROTHERS ALTERNATIVE INVESTMENT MANAGEMENT LLC	18560	>International Adviser (Investment Counsel & Portfolio Manager)
LEHMAN BROTHERS ASSET MANAGEMENT INC.	27030	>International Adviser (Investment Counsel & Portfolio Manager)
LEHMAN BROTHERS ASSET MANAGEMENT LLC	27020	>International Adviser (Investment Counsel & Portfolio Manager)
LEITH WHEELER INVESTMENT COUNSEL LTD. / CONSEILLERS EN PLACEMENTS LEITH WHEELER LTEE	2010	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
LEITH WHEELER INVESTMENT FUNDS LTD.	20750	>Mutual Fund Dealer
LEON FRAZER & ASSOCIATES INC.	1300	>Investment Counsel & Portfolio Manager
LES CONSEILLERS EN PLACEMENTS KERR INC. / KERR FINANCIAL ADVISORS INC.	10440	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
LES PARTENAIRES VERSANT INC./VERSANT PARTNERS INC.	5390	>Investment Dealer
LETKO, BROSSAU & ASSOCIATES INC.	4440	>Extra-Provincial Investment Counsel & Portfolio Manager
LEVINE FINANCIAL GROUP INC.	1970	>Mutual Fund Dealer & Limited Market Dealer
LIGHTHOUSE PRIVATE CLIENT CORPORATION	10720	>Investment Dealer
LIGHTWATER PARTNERS LTD.	27510	>Limited Market Dealer & Investment Counsel & Portfolio Manager
LIGHTYEAR CAPITAL INC.	10570	>Investment Dealer
LIME BROKERAGE LLC	25300	>Limited Market Dealer
LIMITED MARKET DEALER INC.	12450	>Limited Market Dealer
LINCLUDEN MANAGEMENT LIMITED	1980	>Limited Market Dealer & Investment Counsel & Portfolio Manager
LINCLUDEN MUTUAL FUND DEALER INC.	12740	>Mutual Fund Dealer
LINDE EQUITY INC.	14720	>Investment Counsel & Portfolio Manager
LINDEN MILLS INVESTMENTS INC.	20950	>Limited Market Dealer
LINEAR CAPITAL GROUP INC.	10050	>Limited Market Dealer
LINELL CAPITAL INC.	29240	>Limited Market Dealer
LIONRIDGE CAPITAL MANAGEMENT INC.	15790	>Extra-Provincial Investment Counsel & Portfolio Manager
LIQUIDNET CANADA INC. / LIQUIDENET CANADA INC.	16680	>Investment Dealer
LIQUIDNET, INC.	24640	>International Dealer
LISSOM INVESTMENT MANAGEMENT INC.	18770	>Limited Market Dealer & Investment Counsel & Portfolio Manager
LLOYD GEORGE INVESTMENT MANAGEMENT (BERMUDA) LIMITED	4980	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
LMD FINANCIAL SERVICES CORPORATION	10020	>Limited Market Dealer
LOCKWOOD CAPITAL MANAGEMENT, INC.	26470	>International Adviser (Investment Counsel & Portfolio Manager)
LOEWEN & PARTNERS INC.	12000	>Limited Market Dealer
LOEWEN, ONDAATJE, MCCUTCHEON LIMITED / LOEWEN, ONDAATJE, MCCUTCHEON LIMITEE	2040	>Broker & Investment Dealer
LOGAN CIRCLE PARTNERS, L.P.	26860	>International Adviser (Investment Counsel & Portfolio Manager)
LOMBARD ODIER DARIER HENTSCHE (CANADA), SOCIETE EN COMMANDITE/LOMBARD ODIER DARIER HENTSCHE (CANADA), LIMITED PARTNERSHIP	20250	>Investment Counsel & Portfolio Manager
LONDON CAPITAL MANAGEMENT LTD./GESTION DES CAPITAUX LONDON LTEE	9020	>Investment Counsel & Portfolio Manager
LONDON STONE FINANCIAL INC.	25120	>Limited Market Dealer
LONGVIEW HOLDINGS INC.	26890	>Limited Market Dealer
LOOMIS, SAYLES & COMPANY, L.P.	17600	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
LOOMIS, SAYLES & COMPANY, L.P.	17600	>International Adviser (Investment Counsel & Portfolio Manager)
LORD, ABBETT & CO. LLC	16180	>International Adviser (Investment Counsel & Portfolio Manager)
LOS ANGELES CAPITAL MANAGEMENT AND EQUITY RESEARCH, INC.	25720	>International Adviser (Investment Counsel & Portfolio Manager)
LOTSOFF CAPITAL MANAGEMENT	6840	>International Adviser (Investment Counsel & Portfolio Manager)
LSV ASSET MANAGEMENT	8920	>International Adviser (Investment Counsel & Portfolio Manager)
LUMIRA CAPITAL CORP.	17500	>Limited Market Dealer
LUMIRA CAPITAL MANAGEMENT CORP.	6610	>Investment Counsel & Portfolio Manager
LYONS ASSET MANAGEMENT INC.	20230	>Investment Counsel & Portfolio Manager
LYTTON FINANCIAL INC.	18500	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
M PARTNERS INC.	20360	>Investment Dealer
M. HERSHBERG CAPITAL LIMITED	1660	>Mutual Fund Dealer & Limited Market Dealer
M.R.S. INC	4330	>Mutual Fund Dealer & Limited Market Dealer
M.R.S. SECURITIES SERVICES INC. / SERVICES VALEURS MOBILIERES M.R.S. INC.	6690	>Investment Dealer
M.R.S. TRUST COMPANY	8630	>Investment Counsel & Portfolio Manager
M.S. LAMONT AND ASSOCIATES LIMITED	1990	>Investment Counsel & Portfolio Manager
M3 CAPITAL PARTNERS LLC	20440	>International Dealer
MACDONALD, SHYMKO & COMPANY LTD.	14890	>Extra-Provincial Investment Counsel & Portfolio Manager
MACDOUGALL INVESTMENT COUNSEL INC. / LES CONSEILLERS EN PLACEMENTS MACDOUGALL INC.	16900	>Investment Counsel & Portfolio Manager
MACDOUGALL, MACDOUGALL & MACTIER INC.	2120	>Broker & Investment Dealer
MACKAY SHIELDS LLC	25520	>International Adviser (Investment Counsel & Portfolio Manager)
MACKENZIE CUNDILL INVESTMENT MANAGEMENT LTD.	24040	>Investment Counsel & Portfolio Manager
MACKENZIE CUNDILL INVESTMENT MANAGEMENT LTD.	24040	>Limited Market Dealer
MACKENZIE FINANCIAL CORPORATION	2130	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
MACNICOL & ASSOCIATES ASSET MANAGEMENT INC.	12500	>Limited Market Dealer
MACNICOL & ASSOCIATES ASSET MANAGEMENT INC.	12500	>Investment Counsel & Portfolio Manager
MACQUARIE ALLEGIANCE CAPITAL, LLC	23860	>International Adviser (Investment Counsel & Portfolio Manager)
MACQUARIE CAPITAL (USA) INC .	21270	>International Dealer
MACQUARIE CAPITAL MARKETS CANADA LTD./MARCHES FINANCIERS MACQUARIE CANADA LTEE.	3950	>Investment Dealer & Futures Commission Merchant

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
MAGNA PARTNERS LTD.	21850	>Investment Dealer
MAGNA VISTA INVESTMENT MANAGEMENT LIMITED/GESTION DES INVESTISSEMENTS MAGNA VISTA LIMITEE	2440	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MAISON PLACEMENTS CANADA INC.	2140	>Broker & Investment Dealer
MAK, ALLEN & DAY CAPITAL PARTNERS INC.	21530	>Investment Counsel & Portfolio Manager
MAK, ALLEN & DAY CAPITAL PARTNERS INC.	21530	>Limited Market Dealer
MALLORY CAPITAL GROUP, LLC	23750	>Limited Market Dealer
MAMGMT FUND SERVICES LTD.	25890	>Investment Counsel & Portfolio Manager
MAN INVESTMENTS CANADA CORP.	23200	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MANITOU INVESTMENT MANAGEMENT LTD.	8430	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MANNING & NAPIER ADVISORS, INC.	20520	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
MANULIFE SECURITIES INCORPORATED/PLACEMENTS MANUVIE INCORPOREE	17820	>Investment Dealer
MANULIFE SECURITIES INVESTMENT SERVICES INC.	28150	>Mutual Fund Dealer & Limited Market Dealer
MAPLE FUTURES CORP.	8230	>Futures Commission Merchant (SRO Member)
MAPLE SECURITIES CANADA LIMITED / VALEURS MOBILIERES MAPLE CANADA LTEE	7440	>Investment Dealer
MAPLEHILL CAPITAL MANAGEMENT CORPORATION	28640	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MAPLERIDGE CAPITAL CORPORATION	8390	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
MARATHON ASSET MANAGEMENT LLP	18650	>Limited Market Dealer
MARATHON ASSET MANAGEMENT LLP	18650	>International Adviser (Investment Counsel & Portfolio Manager)
MARCHANT SECURITIES INC.	2150	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
MARKETAXESS CANADA LIMITED/ACCES AU MARCHE (CANADA) LIMITEE	22630	>Investment Dealer
MARKETAXESS CORPORATION	9130	>International Dealer
MARQUEST ASSET MANAGEMENT INC. / INVESTISSEMENT CONSEIL MARQUEST	2310	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MARRET ASSET MANAGEMENT INC.	10780	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
MARTIN + BECKER FINANCIAL MANAGEMENT LTD.	4860	>Mutual Fund Dealer & Limited Market Dealer
MARTIN CURRIE INC.	840	>International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
MARTIN, LUCAS & SEAGRAM LTD.	2160	>Investment Counsel & Portfolio Manager
MARTINGALE ASSET MANAGEMENT, LP	22230	>International Adviser (Investment Counsel & Portfolio Manager)
MARTLET CAPITAL MANAGEMENT INC.	27840	>Limited Market Dealer
MARVIN & PALMER ASSOCIATES, INC.	2410	>International Adviser (Investment Counsel & Portfolio Manager)
MATNOR HOLDINGS INC.	3810	>Limited Market Dealer
MATRIARCH INVESTMENTS INC.	26960	>Limited Market Dealer
MAVRIX FUND MANAGEMENT INC./GESTION DE FONDS MAVRIX INC.	11240	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MAWER INVESTMENT MANAGEMENT LTD.	16280	>Mutual Fund Dealer
MAWER INVESTMENT MANAGEMENT LTD.	16280	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MAX CAPITAL MARKETS LTD.	16480	>Limited Market Dealer
MAXIM GROUP LLC	21110	>International Dealer
MAXUM CAPITAL MARKETS INC.	29210	>Limited Market Dealer
MCELVAIN INVESTMENT MANAGEMENT LTD.	8310	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
MCGLADREY CAPITAL MARKETS CANADA INC.	15900	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
MCKINLEY CAPITAL MANAGEMENT, INC.	7160	>International Adviser (Investment Counsel & Portfolio Manager)
MCLEAN & PARTNERS WEALTH MANAGEMENT LTD.	8680	>Investment Dealer
MCLEAN ASSET MANAGEMENT LTD.	8540	>Limited Market Dealer
MCLEAN BUDDEN FUNDS INC.	11120	>Mutual Fund Dealer
MCLEAN BUDDEN LIMITED/MCLEAN BUDDEN LIMITEE	2190	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MD FUNDS MANAGEMENT INC.	6180	>Investment Counsel & Portfolio Manager
MD MANAGEMENT LIMITED/GESTION MD LIMITEE	2200	>Investment Dealer
MD PRIVATE INVESTMENT MANAGEMENT INC./GESTION PRIVEE DE PORTEFUILLE MD INC.	9050	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MEADOWBANK ASSET MANAGEMENT INC.	24010	>Limited Market Dealer
MEADOWBANK ASSET MANAGEMENT INC.	24010	>Investment Counsel & Portfolio Manager
MELLON CAPITAL MANAGEMENT CORPORATION	4830	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
MEMBERS MUTUAL MANAGEMENT CORP.	6710	>Mutual Fund Dealer
MERCATOR ASSET MANAGEMENT, L.P.	13450	>International Adviser (Investment Counsel & Portfolio Manager)
MERCER GLOBAL INVESTMENTS CANADA LIMITED	18020	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MERGEKO RESOURCES INC.	17130	>Limited Market Dealer
MERITAS FINANCIAL INC.	10800	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MERRILL LYNCH CANADA INC.	2210	>Investment Dealer & Futures Commission Merchant
MERRILL LYNCH PROFESSIONAL CLEARING CORP.	23030	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2500	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2500	>Limited Market Dealer
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	2500	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
MERRIMAN CURHAN FORD & CO.	18520	>International Dealer
MESIROW FINANCIAL INVESTMENT MANAGEMENT, INC.	24520	>International Adviser (Investment Counsel & Portfolio Manager)
MESIROW FINANCIAL PRIVATE EQUITY ADVISORS, INC.	25920	>International Adviser (Investment Counsel & Portfolio Manager)
METROPOLITAN WEST CAPITAL MANAGEMENT, LLC	13280	>International Adviser (Investment Counsel & Portfolio Manager)
MF GLOBAL CANADA CO./MF GLOBAL CANADA CIE	3040	>Investment Dealer & Futures Commission Merchant
MFS INSTITUTIONAL ADVISORS, INC.	7390	>Limited Market Dealer
MFS INSTITUTIONAL ADVISORS, INC.	7390	>International Adviser (Investment Counsel & Portfolio Manager)
MGI FINANCIAL INC.	4270	>Mutual Fund Dealer & Limited Market Dealer
MGI SECURITIES INC. / MGI VALEURS MOBILIERES INC.	9580	>Broker & Investment Dealer
MICHAEL GRAHAM INVESTMENT SERVICES INC.	26440	>Investment Counsel
MIDDLEFIELD CAPITAL CORPORATION	2300	>Investment Dealer
MIKALACHKI INVESTMENT MANAGEMENT LTD.	7610	>Investment Counsel & Portfolio Manager
MILES SANTO AND ASSOCIATES INC.	5060	>Mutual Fund Dealer
MILESTONE INVESTMENT COUNSEL INC.	5840	>Investment Counsel & Portfolio Manager
MILFORD CAPITAL MANAGEMENT INC./GESTION DE CAPITAL MILFORD INC.	11250	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MILLENNIUM WAVE SECURITIES, LLC	22180	>Limited Market Dealer
MILLER TABAK + CO., LLC	18170	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
MILLER TABAK ROBERTS SECURITIES, LLC	11190	>International Dealer
MIRABAUD CANADA INC.	6030	>Broker & Investment Dealer
MIRABAUD GESTION INC.	6010	>Extra-Provincial Investment Counsel & Portfolio Manager
MIRVISH THEATRICAL INVESTMENT GROUP INC.	17740	>Limited Market Dealer
MITSUBISHI UFJ SECURITIES (USA), INC.	11880	>International Dealer
MIZRAHI & MIZRAHI LTD.	11400	>Limited Market Dealer
MIZUHO SECURITIES USA INC.	11520	>International Dealer
MM ASSET MANAGEMENT INC.	21760	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MOGAVERO, LEE & CO., INC.	13310	>International Dealer
MONARCH WEALTH CORPORATION	1400	>Mutual Fund Dealer & Limited Market Dealer
MONDIALE ASSET MANAGEMENT LTD.	10670	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
MONDRIAN INVESTMENT PARTNERS LIMITED	5050	>International Adviser (Investment Counsel & Portfolio Manager)
MONEY MANAGERS INC.	2340	>Investment Dealer
MONEYSTRAT SECURITIES INC.	2220	>Mutual Fund Dealer & Limited Market Dealer
MONTAG & CALDWELL, INC.	7280	>International Adviser (Investment Counsel & Portfolio Manager)
MONTAZAH EQUITIES INC.	2540	>Limited Market Dealer
MONTROSE HAMMOND & CO.	27410	>Investment Counsel & Portfolio Manager
MONTROSE HAMMOND & CO.	27410	>Limited Market Dealer
MONTRUSCO BOLTON INVESTMENTS INC./PLACEMENTS MONTRUSCO BOLTON INC.	290	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
MONUMENT GROUP, INC.	12030	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
MORGAN BAY CAPITAL INC.	9170	>Investment Counsel & Portfolio Manager
MORGAN JOSEPH & CO. INC.	22300	>International Dealer
MORGAN MEIGHEN & ASSOCIATES LIMITED	4150	>Investment Counsel & Portfolio Manager
MORGAN STANLEY & CO. INCORPORATED	2490	>Limited Market Dealer
MORGAN STANLEY & CO. INCORPORATED	2490	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
MORGAN STANLEY & CO. INTERNATIONAL PLC	4410	>International Dealer
MORGAN STANLEY & CO. LIMITED	4400	>International Dealer
MORGAN STANLEY CANADA LIMITED	2480	>Broker & Investment Dealer
MORGAN STANLEY INVESTMENT MANAGEMENT INC.	2430	>International Adviser (Investment Counsel & Portfolio Manager)
MORGAN, KEEGAN & COMPANY, INC.	4650	>International Dealer
MORGUARD FINANCIAL CORP.	7690	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MORRISON WILLIAMS CAPITAL ADVISORS INC.	21560	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MORRISON WILLIAMS INVESTMENT MANAGEMENT LP	21570	>Limited Market Dealer & Investment Counsel & Portfolio Manager
MOUNT LUCAS MANAGEMENT CORPORATION	5110	>International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
MOUNTAIN FOWLER ASSET MANAGEMENT INC.	26970	>Commodity Trading Manager
MOUNTAIN FOWLER ASSET MANAGEMENT INC.	26970	>Investment Counsel & Portfolio Manager
MOUNTAIN FOWLER ASSET MANAGEMENT INC.	26970	>Limited Market Dealer
MOUNTAINVIEW ASSET MANAGEMENT INC.	25730	>Limited Market Dealer
MOUNTAINVIEW ASSET MANAGEMENT INC.	25730	>Investment Counsel & Portfolio Manager
MPL COMMUNICATIONS INC.	5520	>Securities Adviser
MUELLER BEHAVIOURAL ANALYTICS INC.	10640	>Securities Adviser

May/15/2009

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List of Ontario Registrants

FIRM NAME

NRD_NUM

OSC REGISTRATION CATEGORY

IDA APPROVAL CATEGORY

MULVIHILL CAPITAL MANAGEMENT INC./GESTION DE
CAPITAL MULVIHILL INC.

690 > Mutual Fund Dealer & Limited Market Dealer & Investment
Counsel & Portfolio Manager

MUNDER CAPITAL MANAGEMENT

8050 > International Adviser (Investment Counsel & Portfolio
Manager)

MURPHY & DURIEU

23790 > Limited Market Dealer

MURRAY & COMPANY INVESTMENT SERVICES LTD.

2240 > Limited Market Dealer

MUSTANG CAPITAL PARTNERS INC.

16710 > Limited Market Dealer

MVISION PRIVATE EQUITY ADVISERS USA LLC

16150 > International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
N.D. MOFFAT INVESTMENT MANAGEMENT LTD.	2280	>Investment Counsel & Portfolio Manager
NAPG EQUITIES INC.	2620	>Limited Market Dealer
NATCAN INVESTMENT MANAGEMENT INC. / GESTION DE PORTEFEUILLE NATCAN INC.	15290	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
NATIONAL BANK FINANCIAL INC./FINANCIERE BANQUE NATIONALE INC.	1960	>Investment Dealer & Futures Commission Merchant
NATIONAL BANK FINANCIAL LTD./FINANCIERE BANQUE NATIONALE LTEE	2020	>Investment Dealer & Futures Commission Merchant
NATIONAL BANK SECURITIES INC./PLACEMENTS BANQUE NATIONALE INC.	28750	>Mutual Fund Dealer
NATIONAL BANK TRUST INC./TRUST BANQUE NATIONALE INC.	8570	>Extra-Provincial Investment Counsel & Portfolio Manager
NATIONAL FINANCIAL SERVICES LLC	18590	>International Dealer
NATIXIS BLEICHROEDER INC	24190	>International Dealer
NATIXIS SECURITIES NORTH AMERICA INC.	10330	>International Dealer
NAVELLIER & ASSOCIATES INC.	5620	>International Adviser (Investment Counsel & Portfolio Manager)
NBC ALTERNATIVE INVESTMENTS INC./BNC GESTION ALTERNATIVE INC.	26010	>Commodity Trading Manager
NBC ALTERNATIVE INVESTMENTS INC./BNC GESTION ALTERNATIVE INC.	26010	>Investment Counsel & Portfolio Manager
NBCN INC.	5730	>Broker & Investment Dealer
NCP SECURITIES INC.	20160	>Limited Market Dealer
NDB GROUP SYNDICATIONS INC.	9240	>Limited Market Dealer
NEEDHAM & COMPANY, LLC	28160	>International Dealer
NELSON INVESTMENT GROUP LTD.	24470	>Limited Market Dealer
NEONET SECURITIES AB	28360	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
NEONET SECURITIES, INC.	28350	>International Dealer
NEUBERGER BERMAN LLC	5680	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
NEW AMSTERDAM PARTNERS, LLC	21040	>International Adviser (Investment Counsel & Portfolio Manager)
NEW SOLUTIONS CAPITAL INC.	17210	>Limited Market Dealer
NEW STAR CANADA INC.	21660	>Investment Counsel & Portfolio Manager
NEW STAR INSTITUTIONAL MANAGERS LIMITED	4320	>International Adviser (Investment Counsel & Portfolio Manager)
NEW YORK LIFE INVESTMENT MANAGEMENT LLC	23470	>International Adviser (Investment Counsel & Portfolio Manager)
NEWEDGE CANADA INC.	27130	>Investment Dealer & Futures Commission Merchant
NEWEDGE USA, LLC	20200	>International Dealer
NEWHAVEN ASSET MANAGEMENT INC.	9010	>Limited Market Dealer & Investment Counsel & Portfolio Manager
NEWHAVEN BANCORP LIMITED	28080	>Limited Market Dealer
NEWHOUSE CAPITAL CORPORATION	940	>Limited Market Dealer
NEWPARK CAPITAL CORP.	28960	>Limited Market Dealer
NEWPOINT CAPITAL PARTNERS INC.	7590	>Limited Market Dealer
NEWPORT INVESTMENT COUNSEL INC.	10600	>Limited Market Dealer & Investment Counsel & Portfolio Manager
NEWPORT SECURITIES LP	21640	>Limited Market Dealer
NEWTON CAPITAL MANAGEMENT LIMITED	26390	>International Adviser (Investment Counsel & Portfolio Manager)
NEXGEN FINANCIAL LIMITED PARTNERSHIP	21520	>Commodity Trading Manager
NEXGEN FINANCIAL LIMITED PARTNERSHIP	21520	>Mutual Fund Dealer & Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
NEXUS INVESTMENT MANAGEMENT INC.	350	>Limited Market Dealer & Investment Counsel & Portfolio Manager
NICHOLAS-APPLEGATE CAPITAL MANAGEMENT LLC / GESTION DE CAPITAUX NICHOLAS-APPLEGATE, SOCIETE A RESPONSABILITE LIMITEE	5400	>International Adviser (Investment Counsel & Portfolio Manager)
NICHOLAS-APPLEGATE SECURITIES LLC	5710	>International Dealer
NICOLA WEALTH MANAGEMENT LTD.	14790	>Extra-Provincial Investment Counsel & Portfolio Manager
NISA INVESTMENT ADVISORS, L.L.C.	25070	>International Adviser (Investment Counsel & Portfolio Manager)
NOBLE INTERNATIONAL INVESTMENTS, INC.	21160	>International Dealer
NOMURA CANADA INC.	2590	>Limited Market Dealer
NOMURA INTERNATIONAL PLC	2610	>International Dealer
NOMURA SECURITIES INTERNATIONAL, INC.	2600	>International Dealer
NORDEA INVESTMENT MANAGEMENT NORTH AMERICA, INC. / GESTION DES PLACEMENTS NORDEA, AMERIQUE DU NORD	12590	>International Adviser (Investment Counsel & Portfolio Manager)
NORDIC PARTNERS INC.	27570	>International Dealer
NORFOLK MARKETS, LLC	13040	>International Dealer
NORSTAR SECURITIES LIMITED PARTNERSHIP	25100	>Investment Dealer
NORTH GROWTH MANAGEMENT LTD	14320	>Limited Market Dealer
NORTH STAR CAPITAL MANAGEMENT LIMITED	27100	>Investment Counsel & Portfolio Manager
NORTH STAR CAPITAL MANAGEMENT LIMITED	27100	>Limited Market Dealer
NORTHCREST PARTNERS INC.	26850	>Limited Market Dealer
NORTHERN PRECIOUS METALS MANAGEMENT INC./GESTION METAUX PRECIEUX NORTHERN INC.	21860	>Investment Counsel & Portfolio Manager
NORTHERN RIVERS CAPITAL MANAGEMENT INC.	11450	>Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
NORTHERN SECURITIES INC. / VALEURS MOBILIERES NORTHERN INC.	6780	>Broker & Investment Dealer
NORTHROAD CAPITAL MANAGEMENT LLC	24870	>Limited Market Dealer
NORTHROAD CAPITAL MANAGEMENT LLC	24870	>International Adviser (Investment Counsel & Portfolio Manager)
NORTHWATER CAPITAL MANAGEMENT INC. / NORTHWATER GESTION INC.	2560	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
NORTHWEST & ETHICAL INVESTMENTS L.P.	26910	>Investment Counsel & Portfolio Manager
NORTHWOOD PRIVATE COUNSEL INC.	15810	>Limited Market Dealer & Investment Counsel & Portfolio Manager
NOTRE-DAME CAPITAL INC.	22290	>Limited Market Dealer
NOTTINGHAM CONSULTING LTD	27450	>Limited Market Dealer
NOVA BANCORP SECURITIES LTD.	13230	>Limited Market Dealer
NOVADAN CAPITAL LIMITED	17510	>Investment Counsel & Portfolio Manager
NOVADAN CAPITAL LIMITED	17510	>Limited Market Dealer
NOVADX VENTURES CORP.	26300	>Limited Market Dealer
NT GLOBAL ADVISORS, INC./ CONSEILLERS MONDIAUX NT	1060	>Limited Market Dealer & Investment Counsel & Portfolio Manager
NUMERIC INVESTORS LLC	20330	>International Adviser (Investment Counsel & Portfolio Manager)
NUVEEN ASSET MANAGEMENT INC.	20910	>International Adviser (Investment Counsel & Portfolio Manager)
NUVEEN INVESTMENTS CANADA CO.	18140	>Mutual Fund Dealer
NWQ INVESTMENT MANAGEMENT COMPANY, LLC.	16580	>International Adviser (Investment Counsel & Portfolio Manager)
NYLIFE DISTRIBUTORS LLC	23780	>Limited Market Dealer
NYLIFE DISTRIBUTORS LLC	23780	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
O.P.M. VENTURES INC.	2700	>Limited Market Dealer
OASIS PARK INVESTMENT LTD.	23130	>Limited Market Dealer
OCEANROCK CAPITAL PARTNERS INC.	22700	>Extra-Provincial Investment Counsel & Portfolio Manager
OCTAGON CAPITAL CORPORATION	4380	>Broker & Investment Dealer
ODL SECURITIES (CANADA) LTD.	26650	>Limited Market Dealer
ODLUM BROWN LIMITED	2640	>Broker & Investment Dealer
OECHSLE INTERNATIONAL ADVISORS, LLC	7230	>International Adviser (Investment Counsel & Portfolio Manager)
OES BROKERAGE SERVICES, L.L.C.	22450	>International Dealer
OFI INSTITUTIONAL ASSET MANAGEMENT, INC.	23850	>International Adviser (Investment Counsel & Portfolio Manager)
OJALA FINANCIAL CORP.	12700	>Limited Market Dealer
OLLERHEAD CAPITAL CORPORATION	7340	>Limited Market Dealer
OLYMPIAN FINANCIAL INC.	6820	>Mutual Fund Dealer & Limited Market Dealer
OMEGA SECURITIES INC.	28310	>Investment Dealer
OMG WEALTH MANAGEMENT INC.	23580	>Investment Dealer
OMNISCOPE ADVISORS INC.	22810	>Limited Market Dealer
ONE CLICK FINANCIAL INC.	26290	>Limited Market Dealer
ONE FINANCIAL CORPORATION	12530	>Limited Market Dealer
ONEX CREDIT PARTNERS, LLC	27800	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
ONTARIO FINANCIAL SERVICES INC.	5750	>Mutual Fund Dealer
OPEN ACCESS LIMITED	6240	>Mutual Fund Dealer & Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
OPERA CAPITAL MANAGEMENT INC.	20390	>Limited Market Dealer
OPERA CAPITAL MANAGEMENT INC.	20390	>Commodity Trading Manager
OPPENHEIMER & CO. INC.	8890	>International Dealer
OPPENHEIMER CAPITAL LLC	4260	>International Adviser (Investment Counsel & Portfolio Manager)
OPPENHEIMER REAL ASSET MANAGEMENT, INC.	22920	>Commodity Trading Manager (Non-Resident)
OPPENHEIMERFUNDS, INC.	7920	>International Adviser (Investment Counsel & Portfolio Manager)
OPTIMAL MODELS AND DECISIONS INC.	6910	>Limited Market Dealer
OPTIMAL MODELS AND DECISIONS INC.	6910	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
OPTIMIZE ASSET MANAGEMENT INCORPORATED	28450	>Limited Market Dealer
OPTIMIZE ASSET MANAGEMENT INCORPORATED	28450	>Investment Counsel & Portfolio Manager
OPTIONSXPRESS CANADA CORP./CORPORATION OPTIONSXPRESS CANADA	21100	>Investment Dealer
ORBIS CANADIAN CLIENT SERVICES LIMITED	27900	>Limited Market Dealer
ORCHARD ASSET MANAGEMENT INC.	16210	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ORIGIN POINT CAPITAL PARTNERS CORP.	27810	>Limited Market Dealer
ORIGIN CAPITAL MANAGEMENT LTD.	22860	>Limited Market Dealer
ORIGIN CAPITAL MANAGEMENT LTD.	22860	>Extra-Provincial Investment Counsel & Portfolio Manager
O'SHAUGHNESSY ASSET MANAGEMENT, LLC	27910	>International Adviser (Investment Counsel & Portfolio Manager)
OSPREY CAPITAL PARTNERS	8330	>Limited Market Dealer
OTT CAPITAL CORPORATION	28730	>Limited Market Dealer
OXFORD ATLANTIC INC.	2680	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
PACIFIC CREST SECURITIES INC.	20510	>International Dealer
PACIFIC INCOME ADVISERS, INC.	9510	>International Adviser (Investment Counsel & Portfolio Manager)
PACIFIC SPIRIT INVESTMENT MANAGEMENT INC.	15140	>Extra-Provincial Investment Counsel & Portfolio Manager
PACIFICA PARTNERS INC.	28570	>Extra-Provincial Investment Counsel & Portfolio Manager
PALADIN CAPITAL MARKETS INC.	24620	>Limited Market Dealer
PALI CAPITAL, INC.	6730	>International Dealer
PALISADE CAPITAL MANAGEMENT LTD.	16620	>Limited Market Dealer
PAN ASSET MANAGEMENT LTD.	23290	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PANAGORA ASSET MANAGEMENT, INC.	4460	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
PANFIN EQUICAP LTD	10250	>Limited Market Dealer
PANGAEA ASSET MANAGEMENT INC.	22690	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PANOPLY CAPITAL ASSET MANAGEMENT INC.	27390	>Limited Market Dealer
PANOPLY CAPITAL ASSET MANAGEMENT INC.	27390	>Investment Counsel & Portfolio Manager
PAPE, GORDON KENDREW	2840	>Securities Adviser
PARADIGM CAPITAL INC. / PARADIGME CAPITAL INC.	3450	>Broker & Investment Dealer
PARADIGM PORTFOLIO MANAGEMENT CORPORATION	13600	>Investment Counsel & Portfolio Manager
PARETO INVESTMENT MANAGEMENT LIMITED	10980	>International Adviser (Investment Counsel & Portfolio Manager)
PARK HILL GROUP LLC	23570	>International Dealer
PARK HILL REAL ESTATE GROUP LLC	24430	>International Dealer
PARKLEA CAPITAL INC.	18240	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
PARTNERS IN PLANNING FINANCIAL SERVICES LTD./SERVICES FINANCIERS PARTENAIRES EN PLANIFICATION LTEE	11850	>Mutual Fund Dealer & Limited Market Dealer
PATHWAY CAPITAL MANAGEMENT, LLC	22060	>International Adviser (Investment Counsel & Portfolio Manager)
PATHWAY INVESTMENT COUNSEL INC.	24680	>Investment Counsel & Portfolio Manager
PATICA SECURITIES LIMITED	16780	>Limited Market Dealer
PATIENT CAPITAL MANAGEMENT INC.	9300	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PATIENT CAPITAL MANAGEMENT INC.	9300	>Investment Counsel & Portfolio Manager
PCJ INVESTMENT COUNSEL LTD.	7060	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PDQ FINANCIAL SERVICES INC.	40	>Mutual Fund Dealer
PEAK INVESTMENT SERVICES INC./SERVICES EN PLACEMENTS PEAK INC.	8260	>Mutual Fund Dealer
PEAK SECURITIES INC./VALEURS MOBILIERES PEAK INC.	10710	>Investment Dealer
PEGASUS CAPITAL MANAGEMENT INC.	28120	>Investment Counsel & Portfolio Manager
PEGASUS CAPITAL MANAGEMENT INC.	28120	>Limited Market Dealer
PEGASUS ONTARIO HOLDINGS LTD.	2980	>Limited Market Dealer
PENDO CAPITAL INC.	12610	>Limited Market Dealer
PEPPER-WEBER TRADING & INVESTMENT CORPORATION	2910	>Limited Market Dealer
PEREGRINE FINANCIAL GROUP CANADA, INC.	8860	>Futures Commission Merchant (SRO Member)
PEREGRINE INVESTMENT MANAGEMENT INC.	17620	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PERENNIAL ASSET MANAGEMENT CORP.	21500	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PERFORMANCE CAPITAL LIMITED	5260	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
PERFORMANCE EQUITY MANAGEMENT, LLC	18980	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
PERIMETER MARKETS INC.	22510	>Investment Dealer & Futures Commission Merchant
PERSHING LLC	1080	>International Dealer
PETERS & CO. LIMITED	2730	>Broker & Investment Dealer
PFSL INVESTMENTS CANADA LTD.	2830	>Mutual Fund Dealer
PHILADELPHIA INTERNATIONAL ADVISORS, LP	12250	>International Adviser (Investment Counsel & Portfolio Manager)
PHILLIPS, HAGER & NORTH INVESTMENT FUNDS LTD.	11560	>Mutual Fund Dealer
PHILLIPS, HAGER & NORTH INVESTMENT MANAGEMENT LTD.	2740	>Mutual Fund Dealer & Investment Counsel & Portfolio Manager
PI FINANCIAL CORP./CORPORATION FINANCIERE PI	5290	>Broker & Investment Dealer
PI INVESTMENT MANAGEMENT LIMITED	23660	>International Adviser (Investment Counsel & Portfolio Manager)
PICTET ASSET MANAGEMENT LIMITED	24350	>International Adviser (Investment Counsel & Portfolio Manager)
PICTET CANADA L.P./PICTET CANADA S.E.C.	7090	>Investment Dealer
PICTET GESTION PRIVEE CANADA INC. / PICTET PRIVATE MANAGEMENT CANADA INC.	20030	>Extra-Provincial Investment Counsel & Portfolio Manager
PICTON MAHONEY ASSET MANAGEMENT	18750	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PIER 21 ASSET MANAGEMENT INC. / GESTION D'ACTIFS PIER 21 INC.	23460	>Limited Market Dealer
PIER 21 ASSET MANAGEMENT INC. / GESTION D'ACTIFS PIER 21 INC.	23460	>Extra-Provincial Investment Counsel & Portfolio Manager
PIMCO CANADA CORP.	18110	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
PINE POINT CAPITAL ADVISORS INC.	27350	>Limited Market Dealer
PINERIDGE EQUITY RESEARCH LTD	8250	>Securities Adviser

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
PINNACLE ASSOCIATES, LTD.	6440	>International Adviser (Investment Counsel & Portfolio Manager)
PINNACLE MERCHANT CAPITAL LTD.	9040	>Limited Market Dealer
PIPER JAFFRAY & CO.	2870	>International Dealer
PKF HILL SECURITIES INC.	10120	>Limited Market Dealer
PLACEMENTS IA CLARINGTON INC. / IA CLARINGTON INVESTMENTS INC.	9110	>Investment Counsel & Portfolio Manager
PLANMAR FINANCIAL CORP.	2750	>Mutual Fund Dealer
PLANNING CIRCLE FINANCIAL GROUP INC.	4870	>Mutual Fund Dealer
POLAR SECURITIES INC.	2820	>Investment Dealer & Futures Commission Merchant
POLARIS FINANCIAL INC.	28300	>Investment Counsel & Portfolio Manager
POLLITT & CO. INC.	2760	>Investment Dealer
POLLITT INVESTMENT COUNSEL INC.	29060	>Investment Counsel & Portfolio Manager
POLYFUNDS INVESTMENT INC.	8140	>Mutual Fund Dealer
POPE & COMPANY LIMITED	22520	>Investment Dealer
PORTFOLIO MANAGEMENT CORPORATION	2780	>Investment Counsel & Portfolio Manager
PORTFOLIO STRATEGIES CORPORATION	10850	>Mutual Fund Dealer & Limited Market Dealer
PORTFOLIO STRATEGIES CORPORATION	10850	>Mutual Fund Dealer
PORTFOLIO STRATEGIES SECURITIES INC.	26260	>Investment Dealer
POWERONE CAPITAL MARKETS LIMITED	17010	>Limited Market Dealer
PRECISION SECURITIES, LLC	10490	>International Dealer
PRESIMA INC.	20280	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager

May/15/2009
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List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
PRICEWATERHOUSECOOPERS CORPORATE FINANCE INC.	3550	>Limited Market Dealer
PRIEVE CAPITAL INC.	23520	>Limited Market Dealer
PRIMARY CAPITAL INC.	23980	>Limited Market Dealer
PRIME QUADRANT	10290	>Limited Market Dealer
PRIME RATE CAPITAL MANAGEMENT LLP	27920	>Limited Market Dealer
PRINCETON FINANCIAL GROUP LLC	10360	>International Dealer
PRINCIPAL GLOBAL INVESTORS LLC	27550	>International Adviser (Investment Counsel & Portfolio Manager)
PRIVATE CAPITAL MANAGEMENT, L.P.	17400	>International Adviser (Investment Counsel & Portfolio Manager)
PRIVATE CAPITAL MARKETS CORP.	3010	>Limited Market Dealer
PRIVATE FINANCIAL RESEARCH CORPORATION	12310	>Securities Adviser
PROBITAS FUNDS GROUP, LLC	24450	>International Dealer
PROFESSIONAL INVESTMENT SERVICES (CANADA) INC.	13910	>Limited Market Dealer
PROFESSIONAL INVESTMENT SERVICES (CANADA) INC.	13910	>Mutual Fund Dealer
PROFESSIONAL INVESTMENTS (KINGSTON) INC.	2790	>Mutual Fund Dealer & Limited Market Dealer
PRO-FINANCIAL ASSET MANAGEMENT INC.	16800	>Limited Market Dealer & Investment Counsel & Portfolio Manager
PROGRESSIVE FINANCIAL STRATEGY CAPITAL GROUP CORP.	6720	>Mutual Fund Dealer & Limited Market Dealer
PROMARK INVESTMENT ADVISORS, INC.	12230	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
PROMUTUEL CAPITAL CABINET DE SERVICES FINANCIERS INC./PROMUTUEL CAPITAL FINANCIAL SERVICES FIRM INC.	27990	>Mutual Fund Dealer
PROVISUS WEALTH MANAGEMENT LIMITED	24990	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC.	6960	>International Dealer
PTP SECURITIES LLC.	29020	>International Dealer
PUGSLEY CAPITAL INC.	27980	>Extra-Provincial Investment Counsel & Portfolio Manager
PUR INVESTING INC.	23950	>Investment Counsel & Portfolio Manager
PURSUIT FINANCIAL SERVICES CORP.	11140	>Limited Market Dealer
PUTNAM INVESTMENTS INC./INVESTISSEMENTS PUTNAM INC.	12140	>Limited Market Dealer
PUTNAM INVESTMENTS INC./INVESTISSEMENTS PUTNAM INC.	12140	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
PWL CAPITAL INC.	7170	>Investment Dealer
PWM CAPITAL	23250	>Investment Dealer
PYRAMIS CANADA ULC	26990	>Commodity Trading Manager
PYRAMIS CANADA ULC	26990	>Investment Counsel & Portfolio Manager
PYRAMIS GLOBAL ADVISORS, LLC	22030	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
PYRFORD INTERNATIONAL LIMITED	4350	>International Adviser (Investment Counsel & Portfolio Manager)
PZENA INVESTMENT MANAGEMENT, LLC	18100	>Limited Market Dealer
PZENA INVESTMENT MANAGEMENT, LLC	18100	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
Q1 CAPITAL PARTNERS INC..	22480	>Limited Market Dealer
QFS ASSET MANAGEMENT, INC.	7400	>Commodity Trading Manager (Non-Resident)
QTRADE ASSET MANAGEMENT INC.	17480	>Mutual Fund Dealer
QTRADE SECURITIES INC. / INVESTISSEUR QTRADE	9860	>Investment Dealer
QUADRANT ASSET MANAGEMENT	18600	>Extra-Provincial Investment Counsel & Portfolio Manager
QUADRAVEST CAPITAL MANAGEMENT INC.	1820	>Limited Market Dealer & Investment Counsel & Portfolio Manager
QUADREXX ASSET MANAGEMENT INC.	16130	>Limited Market Dealer & Investment Counsel & Portfolio Manager
QUADRUS INVESTMENT SERVICES LTD./SERVICES D'INVESTISSEMENT QUADRUS LTEE.	2800	>Mutual Fund Dealer & Limited Market Dealer
QUADRUS INVESTMENT SERVICES LTD./SERVICES D'INVESTISSEMENT QUADRUS LTEE.	2800	>Mutual Fund Dealer
QUANT INVESTMENT STRATEGIES INC.	8610	>Investment Counsel & Portfolio Manager
QUANTITATIVE MANAGEMENT ASSOCIATES LLC	21750	>International Adviser (Investment Counsel & Portfolio Manager)
QUEEN FINANCIAL GROUP INC.	22680	>Limited Market Dealer
QUEEN FINANCIAL GROUP INC.	22680	>Mutual Fund Dealer
QUEENSBURY SECURITIES INC.	3030	>Investment Dealer
QUEENSBURY STRATEGIES INC.	4200	>Mutual Fund Dealer & Limited Market Dealer
QUEST PARTNERS LTD.	24730	>Limited Market Dealer
QUESTRADE, INC.	9730	>Investment Dealer & Futures Commission Merchant
QUORUM FUNDING SME CORPORATION	9340	>Limited Market Dealer
QV INVESTORS INC. / INVESTISSEURS QV	6750	>Extra-Provincial Investment Counsel & Portfolio Manager
QWEST INVESTMENT FUND MANAGEMENT LTD.	22000	>Extra-Provincial Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
R N CROFT FINANCIAL GROUP INC./R.N. CROFT FINANCIAL GROUP INC.	860	>Investment Counsel & Portfolio Manager
R.A. FLOYD CAPITAL MANAGEMENT INC.	9390	>Limited Market Dealer & Investment Counsel & Portfolio Manager
R.G. SHONIKER & ASSOCIATES INC.	3500	>Limited Market Dealer
R.W. PRESSPRICH & CO., INC.	2880	>International Dealer
RABO SECURITIES USA, INC.	17430	>International Dealer
RAE & LIPSKIE INVESTMENT COUNSEL INC.	3110	>Investment Counsel & Portfolio Manager
RAINIER INVESTMENT MANAGEMENT, INC.	27670	>International Adviser (Investment Counsel & Portfolio Manager)
RARE INFRASTRUCTURE LIMITED	28820	>International Adviser (Investment Counsel & Portfolio Manager)
RAVENS DEN ASSET MANAGEMENT INC.	26870	>Investment Counsel & Portfolio Manager
RAYMOND JAMES & ASSOCIATES, INC.	7110	>International Dealer
RAYMOND JAMES LTD.	8240	>Broker & Investment Dealer
RAYNE CAPITAL MANAGEMENT INC.	25450	>Limited Market Dealer
RBC ASSET MANAGEMENT INC./RBC GESTION D'ACTIFS INC.	3090	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
RBC CAPITAL MARKETS CORPORATION	8270	>International Dealer
RBC DIRECT INVESTING INC./RBC PLACEMENTS EN DIRECT INC.	3200	>Investment Dealer
RBC DOMINION SECURITIES INC./RBC DOMINION VALEURS MOBILIERES INC.	3160	>Investment Dealer & Futures Commission Merchant
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC./RBC PHILLIPS, HAGER & NORTH SERVICES-CONSEILS EN PLACEMENTS INC.	630	>Investment Counsel & Portfolio Manager
RBC SECURITIES AUSTRALIA PTY LIMITED	26740	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
RBS SECURITIES INC.	1570	>International Dealer
RCI INVESTMENT MANAGEMENT INC.	28770	>Investment Counsel & Portfolio Manager
RCI INVESTMENT MANAGEMENT INC.	28770	>Limited Market Dealer
RCM CAPITAL MANAGEMENT LLC	9820	>International Adviser (Investment Counsel & Portfolio Manager)
RDF CAPITAL MANAGEMENT, INC.	21550	>Limited Market Dealer
REALCAP HOLDINGS LIMITED	3180	>Investment Counsel & Portfolio Manager
REALTY FINANCIAL ADVISORS INC.	24920	>Limited Market Dealer
RECORD CURRENCY MANAGEMENT LIMITED	25630	>International Adviser (Investment Counsel & Portfolio Manager)
RED BARN CAPITAL INC.	13030	>Limited Market Dealer & Investment Counsel & Portfolio Manager
REDEV CORPORATION	22670	>Limited Market Dealer
REDROCK CAPITAL PARTNERS INVESTMENT MANAGEMENT LTD.	28670	>Limited Market Dealer
REDWOOD ASSET MANAGEMENT INC.	13420	>Limited Market Dealer
REED, CONNER & BIRDWELL, LLC	25200	>International Adviser (Investment Counsel & Portfolio Manager)
REEL CAPITAL CORPORATION	11380	>Limited Market Dealer
REGENESIS CAPITAL MANAGEMENT INC.	17050	>Limited Market Dealer
RENCAP SECURITIES, INC.	21540	>International Dealer
RENVEST MERCANTILE BANCORP. INC.	22430	>Limited Market Dealer
RESEARCH AFFILIATES, LLC	23940	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
RESEARCH CAPITAL CORPORATION / CORPORATION RECHERCHE CAPITAL	3070	>Broker & Investment Dealer
RESOLUTE FUNDS LIMITED	18890	>Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
RESOURCE CAPITAL PARTNERS INC.	20490	>Limited Market Dealer
RETIRE FIRST LTD.	22580	>Investment Dealer
RETURN ON INNOVATION ADVISORS LTD.	13130	>Commodity Trading Manager
RETURN ON INNOVATION ADVISORS LTD.	13130	>Investment Counsel & Portfolio Manager
RICE HALL JAMES & ASSOCIATES	10100	>International Adviser (Investment Counsel & Portfolio Manager)
RICHARDSON CAPITAL LIMITED	16430	>Investment Counsel & Portfolio Manager
RICHARDSON CAPITAL LIMITED	16430	>Limited Market Dealer
RICHARDSON PARTNERS FINANCIAL LIMITED / PARTENAIRES FINANCIERS RICHARDSON LIMITEE	16460	>Investment Dealer
RICHMOND CAPITAL PARTNERS INC.	18550	>Limited Market Dealer
RICHMOND SECURITIES INC.	25830	>Limited Market Dealer
RIDGE HILL CAPITAL MANAGEMENT INC	8360	>Investment Counsel & Portfolio Manager
RIDGEWOOD CAPITAL ASSET MANAGEMENT INC.	27940	>Mutual Fund Dealer
RIDGEWOOD CAPITAL ASSET MANAGEMENT INC.	27940	>Investment Counsel & Portfolio Manager
RIDGEWOOD CAPITAL ASSET MANAGEMENT INC.	27940	>Limited Market Dealer
RIGEL CAPITAL, LLC	22190	>International Adviser (Investment Counsel & Portfolio Manager)
RIGHT SIDE CAPITAL CORP.	28720	>Limited Market Dealer
RIMCON INC.	3100	>Investment Counsel & Portfolio Manager
RIVAL CAPITAL MANAGEMENT INC.	24440	>Extra-Provincial Investment Counsel & Portfolio Manager
RIVAL CAPITAL MANAGEMENT INC.	24440	>Limited Market Dealer
RIVERSOURCE INVESTMENTS, LLC	24240	>International Adviser (Investment Counsel & Portfolio Manager)
RM & ASSOCIATES LIMITED	20880	>Limited Market Dealer
ROBECO INSTITUTIONAL ASSET MANAGEMENT B.V.	12860	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
ROBECO INVESTMENT MANAGEMENT, INC.	24560	>International Adviser (Investment Counsel & Portfolio Manager)
ROBECO SECURITIES, L.L.C.	24720	>International Dealer
ROBERT EVANS INVESTMENT COUNSEL LIMITED	1170	>Investment Counsel & Portfolio Manager
ROBERT W. BAIRD & CO. INCORPORATED	5890	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
ROBERT W. BAIRD & CO. INCORPORATED	5890	>International Dealer
ROBERT W. BAIRD LIMITED	26570	>International Dealer
ROBITAILLE ASSET MANAGEMENT INC./ROBITAILLE GESTION D'ACTIFS INC.	25130	>Extra-Provincial Investment Counsel & Portfolio Manager
ROBSON CAPITAL MANAGEMENT INC.	16060	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ROCHDALE SECURITIES CORPORATION	13250	>International Dealer
ROCHE SECURITIES LTD.	22410	>Limited Market Dealer
ROCKEFELLER & CO., INC.	9920	>International Adviser (Investment Counsel & Portfolio Manager)
ROCKSIDE CAPITAL MANAGEMENT INC.	28200	>Investment Counsel & Portfolio Manager
ROCKSIDE CAPITAL MANAGEMENT INC.	28200	>Limited Market Dealer
ROCKVALE CAPITAL MANAGEMENT INC.	5700	>Investment Counsel & Portfolio Manager
ROGAN INVESTMENT MANAGEMENT LIMITED	3060	>Investment Counsel & Portfolio Manager
ROGERS GROUP INVESTMENT ADVISORS LTD.	11460	>Investment Dealer
ROGERSCASEY CANADA, INC.	2230	>Limited Market Dealer
ROGERSCASEY CANADA, INC.	2230	>Investment Counsel & Portfolio Manager
ROGGE GLOBAL PARTNERS PLC	27040	>International Adviser (Investment Counsel & Portfolio Manager)
RONDEAU CAPITAL INC.	28710	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ROSALIND ADVISORS, INC.	24830	>Limited Market Dealer & Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
ROSETTA CAPITAL LIMITED	17940	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
ROSSEAU ASSET MANAGEMENT LTD.	7970	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ROTH CAPITAL PARTNERS, LLC	29170	>International Dealer
ROTHSCHILD ASSET MANAGEMENT INC.	3150	>International Adviser (Investment Counsel & Portfolio Manager)
ROTHSCHILD INC.	3170	>International Dealer
ROUNDTABLE CAPITAL PARTNERS INC.	22560	>Limited Market Dealer & Investment Counsel & Portfolio Manager
ROYAL MUTUAL FUNDS INC./FONDS D'INVESTISSEMENT ROYAL INC.	3190	>Mutual Fund Dealer
ROYAL SECURITIES CORP.	11550	>Limited Market Dealer
ROYAL SECURITIES CORP.	11550	>Investment Counsel & Portfolio Manager
ROYNAT CAPITAL INC.	9760	>Limited Market Dealer
RSM RICHTER WEALTH MANAGEMENT INC./ GESTION DU PATRIMOINE RSM RICHTER INC.	10170	>Extra-Provincial Investment Counsel & Portfolio Manager
RUSSELL IMPLEMENTATION SERVICES INC.	12510	>International Dealer
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	>Limited Market Dealer
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	>Commodity Trading Manager
RUSSELL INVESTMENTS CANADA LIMITED / INVESTISSEMENTS RUSSELL CANADA LIMITEE	3080	>Mutual Fund Dealer & Limited Market Dealer & Investment Counsel & Portfolio Manager
RWS CAPITAL SERVICES INC.	17350	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
SAGUENAY CAPITAL, LLC	21710	>Limited Market Dealer
SAGUENAY CAPITAL, LLC	21710	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
SALIDA CAPITAL CORP.	12170	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SALMAN PARTNERS INC.	5240	>Broker & Investment Dealer
SAM SUSTAINABLE ASSET MANAGEMENT AG	21030	>International Adviser (Investment Counsel & Portfolio Manager)
SANDFIRE SECURITIES INC. / VALEURS MOBILIERES SANDFIRE INC.	27860	>Investment Dealer
SANDLER, O'NEILL & PARTNERS, L.P.	26950	>International Dealer
SANDSTONE ASSET MANAGEMENT INC.	17800	>Investment Dealer
SANFORD C. BERNSTEIN & CO., LLC	510	>Limited Market Dealer
SANFORD C. BERNSTEIN & CO., LLC	510	>International Dealer
SANFORD C. BERNSTEIN & CO., LLC	510	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
SANFORD C. BERNSTEIN LIMITED	16230	>International Dealer
SANTA BARBARA ASSET MANAGEMENT, LLC	23300	>International Adviser (Investment Counsel & Portfolio Manager)
SANTANDER INVESTMENT SECURITIES INC.	7860	>International Dealer
SARATOGA FINANCE INC.	18260	>Limited Market Dealer
SARBIT ADVISORY SERVICES INC.	21320	>Extra-Provincial Investment Counsel & Portfolio Manager
SCARTHINGMOOR ASSET MANAGEMENT INC.	6510	>Investment Counsel & Portfolio Manager
SCEPTRE INVESTMENT COUNSEL LIMITED	3220	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SCEPTRE MUTUAL FUND DEALER INC.	11150	>Mutual Fund Dealer
SCHACHTER ASSET MANAGEMENT INC	14200	>Extra-Provincial Investment Counsel & Portfolio Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
SCHEER, ROWLETT & ASSOCIATES INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS SCHEER, ROWLETT & ASSOCIES LTEE	740	>Limited Market Dealer
SCHEER, ROWLETT & ASSOCIATES INVESTMENT MANAGEMENT LTD./ GESTION DE PLACEMENTS SCHEER, ROWLETT & ASSOCIES LTEE	740	>Investment Counsel & Portfolio Manager
SCHRODER FUND ADVISORS INC	26620	>Limited Market Dealer
SCHRODER INVESTMENT MANAGEMENT NORTH AMERICA INC.	12130	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
SCHRODER INVESTMENT MANAGEMENT NORTH AMERICA LIMITED	3410	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
SCIVEST CAPITAL MANAGEMENT INC.	16400	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SCM SECURITIES LP	20300	>Investment Dealer
SCOTIA CAPITAL (USA) INC.	19010	>Limited Market Dealer
SCOTIA CAPITAL INC. / SCOTIA CAPITAUX INC.	3460	>Investment Dealer & Futures Commission Merchant
SCOTIA CASSELS INVESTMENT COUNSEL LIMITED / GESTION DE PLACEMENTS SCOTIA CASSELS LIMITEE	3300	>Limited Market Dealer
SCOTIA CASSELS INVESTMENT COUNSEL LIMITED / GESTION DE PLACEMENTS SCOTIA CASSELS LIMITEE	3300	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
SCOTIA ITRADE CORP./SOCIETE SCOTIA ITRADE	4750	>Broker & Investment Dealer
SCOTIA SECURITIES INC.	3590	>Mutual Fund Dealer
SCOTIA WATEROUS INC.	3940	>Limited Market Dealer
SCRIM INVESTMENTS INC.	4560	>Investment Counsel & Portfolio Manager
SD BAKER & ASSOCIATES INC.	17590	>Investment Counsel & Portfolio Manager
SEABANK CAPITAL MANAGEMENT INC.	14810	>Extra-Provincial Investment Counsel & Portfolio Manager
SEAMARK ASSET MANAGEMENT LTD.	4360	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
SEB ENSKILDA, INC.	1200	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
SECURE CAPITAL MARKETS INC.	24850	>Limited Market Dealer
SECURITY FINANCIAL SERVICES & INVESTMENT CORP.	3250	>Mutual Fund Dealer
SECUTOR CAPITAL MANAGEMENT CORPORATION	12930	>Investment Dealer
SEGALL BRYANT & HAMILL	11570	>International Adviser (Investment Counsel & Portfolio Manager)
SEI INVESTMENTS CANADA COMPANY / SOCIETE DE PLACEMENTS SEI CANADA	4620	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
SELECT FINANCIAL SERVICES INC.	3340	>Mutual Fund Dealer & Limited Market Dealer
SELECTIVE ASSET MANAGEMENT GP INC.	20600	>Limited Market Dealer
SELECTIVE ASSET MANAGEMENT INC.	17550	>Investment Counsel & Portfolio Manager
SELEXIA INVESTMENT MANAGEMENT INC./GESTION DE PORTEFEUILLE SELEXIA INC.	26980	>Extra-Provincial Investment Counsel & Portfolio Manager
SENTRY SELECT CAPITAL INC.	28590	>Investment Counsel & Portfolio Manager
SENTRY SELECT CAPITAL INC.	28590	>Mutual Fund Dealer
SENTRY SELECT CAPITAL INC.	28590	>Commodity Trading Manager
SENTRY SELECT INVESTMENTS INC.	17360	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SERVICES FINANCIERS PENSON CANADA INC. /PENSON FINANCIAL SERVICES CANADA INC.	9350	>Broker & Investment Dealer
SETANTA ASSET MANAGEMENT LIMITED	25220	>International Adviser (Investment Counsel & Portfolio Manager)
SETTER CAPITAL INC.	26730	>Limited Market Dealer
SEVENOAKS CAPITAL INC.	27080	>Investment Counsel & Portfolio Manager
SEVENOAKS CAPITAL INC.	27080	>Limited Market Dealer
SEXTANT CAPITAL MANAGEMENT INC.	22140	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SG AMERICAS SECURITIES, LLC	20570	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
SG ASSET MANAGEMENT (SINGAPORE) LTD.	8380	>International Adviser (Investment Counsel & Portfolio Manager)
SHAH FINANCIAL PLANNING INC.	8940	>Mutual Fund Dealer
SHARP ASSET MANAGEMENT INC.	5870	>Investment Counsel & Portfolio Manager
SHAUNESSY INVESTMENT COUNSEL INC.	12210	>Extra-Provincial Investment Counsel & Portfolio Manager
SHERBROOKE STREET CAPITAL (SSC) / CAPITAL SHERBROOKE STREET (SSC) INC.	16140	>Investment Dealer
SHORCAN BROKERS LIMITED	3470	>Limited Market Dealer
SIDOTI & COMPANY, LLC	11440	>International Dealer
SIGMA ANALYSIS & MANAGEMENT LTD.	10390	>Investment Counsel & Portfolio Manager & Commodity Trading Counsel & Commodity Trading Manager
SIGNATURE CAPITAL SECURITIES LLC	23590	>Limited Market Dealer
SILVER HEIGHTS CAPITAL MANAGEMENT INC.	24050	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SILVERBRIDGE CAPITAL INC.	22790	>Limited Market Dealer
SILVERCREEK MANAGEMENT INC.	9890	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SIMMONS & COMPANY INTERNATIONAL	6090	>International Dealer
SINCLAIR-COCKBURN FINANCIAL SERVICES INC.	7470	>Mutual Fund Dealer
SIONNA INVESTMENT MANAGERS INC./GESTIONNAIRES DE PLACEMENTS SIONNA INC.	12340	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SKY INVESTMENT COUNSEL INC.	18070	>Limited Market Dealer
SKY INVESTMENT COUNSEL INC.	18070	>Investment Counsel & Portfolio Manager
SKYPOINT CAPITAL CORPORATION	8210	>Limited Market Dealer
SLABE INC.	7040	>Investment Counsel & Portfolio Manager
SMBC SECURITIES INC.	8750	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
SMH CAPITAL INC.	7450	>International Dealer
SOCIETE DE GESTION C.F.G. HEWARD LTEE/C.F.G. HEWARD INVESTMENT MANAGEMENT LTD.	1620	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
SOCIETE GENERALE ASSET MANAGEMENT (JAPAN) CO., LTD.	8400	>International Adviser (Investment Counsel & Portfolio Manager)
SOCIETE GENERALE VALEURS MOBILIERES INC.	3540	>Investment Dealer
SOLARIS CAPITAL ADVISORS INC.	22990	>Limited Market Dealer
SORA GROUP WEALTH ADVISORS INC.	13180	>Investment Dealer
SOUND SHORE MANAGEMENT, INC.	13380	>International Adviser (Investment Counsel & Portfolio Manager)
SOUTTERHAM BANK CORPORATION	16810	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
SOUTTERHAM CAPITAL LIMITED	19060	>Limited Market Dealer
SOUTTERHAM INVESTMENTS LIMITED	11480	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SPARA MERCHANT CAPITAL CORP.	26820	>Limited Market Dealer
SPP CAPITAL PARTNERS, LLC	8670	>International Dealer
SPROTT ASSET MANAGEMENT INC.	11350	>Investment Dealer
SPRUCEGROVE INVESTMENT MANAGEMENT LTD. / GESTION DE PLACEMENTS SPRUCEGROVE	3990	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SPRUNG & CO. INVESTMENT COUNSEL INC.	21900	>Investment Counsel & Portfolio Manager
SPRUNG LMD INC.	26050	>Limited Market Dealer
SRE SECURITIES CANADA INC.	28830	>Investment Counsel & Portfolio Manager
SRE SECURITIES CANADA INC.	28830	>Limited Market Dealer
SRM CONSULTANTS INC.	13220	>Securities Adviser
STABLE CAPITAL ADVISORS INC.	28330	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
STACEY MUIRHEAD CAPITAL MANAGEMENT LTD.	6880	>Limited Market Dealer & Investment Counsel & Portfolio Manager
STANDARD SECURITIES CAPITAL CORPORATION	3430	>Broker & Investment Dealer
STANDISH MELLON ASSET MANAGEMENT COMPANY LLC	6900	>International Adviser (Investment Counsel & Portfolio Manager)
STANFORD GROUP COMPANY	21140	>International Dealer
STANTON ASSET MANAGEMENT INC./GESTION D'ACTIFS STANTON INC.	20470	>Investment Counsel & Portfolio Manager
STANTON FUNDS INC.	26270	>Limited Market Dealer
STANWICH ADVISORS, LLC	24410	>International Dealer
STARK INVESTMENTS (CANADA) CORP.	21870	>Investment Counsel & Portfolio Manager
STATE FARM INVESTOR SERVICES (CANADA) CO.	10450	>Mutual Fund Dealer
STATE STREET GLOBAL MARKETS CANADA INC. / MARCHES MONDIAUX STATE STREET CANADA INC.	8850	>Broker & Investment Dealer
STATUS FINANCIAL INC.	6860	>Mutual Fund Dealer & Limited Market Dealer
STEADYHAND INVESTMENT FUNDS INC.	24160	>Mutual Fund Dealer
STEADYHAND INVESTMENT MANAGEMENT LTD.	23820	>Extra-Provincial Investment Counsel & Portfolio Manager
STEEPE & CO. LTD.	25760	>Limited Market Dealer
STEINBERG ASSET MANAGEMENT, LLC	25900	>International Adviser (Investment Counsel & Portfolio Manager)
STEPHENAvenue SECURITIES INC.	8080	>Broker & Investment Dealer
STEPHENS INC.	12420	>International Dealer
STERLING GRACE & CO.	22870	>Limited Market Dealer
STERLING MUTUALS INC.	5910	>Mutual Fund Dealer & Limited Market Dealer
STERN CAPITAL LLC	24860	>Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
STERNE, AGEE & LEACH, INC.	27210	>International Dealer
STEVEN G. KELMAN & ASSOCIATES LIMITED	5280	>Investment Counsel
STIFEL, NICOLAUS & COMPANY, INCORPORATED	12160	>International Dealer
STODGELL INVESTMENT MANAGEMENT LIMITED	7840	>Investment Counsel & Portfolio Manager
STONE & CO. CORPORATE FUNDS LIMITED	570	>Securities Issuer
STONE ASSET MANAGEMENT LIMITED	9330	>Investment Counsel & Portfolio Manager
STONE ROAD INVESTMENT MANAGEMENT INC.	9430	>Investment Counsel & Portfolio Manager
STONEBRIDGE FINANCIAL CORPORATION/CORPORATION FINANCIERE STONEBRIDGE	9290	>Limited Market Dealer
STONEBROOKE ASSET MANAGEMENT LTD.	22370	>Investment Counsel & Portfolio Manager
STONECASTLE INVESTMENT MANAGEMENT INC.	26340	>Investment Counsel & Portfolio Manager
STONEGATE PRIVATE COUNSEL LP	21800	>Limited Market Dealer & Investment Counsel & Portfolio Manager
STONEHOUSE CAPITAL MANAGEMENT INC.	10030	>Limited Market Dealer & Investment Counsel & Portfolio Manager
STORM CAPITAL CORPORATION	27760	>Limited Market Dealer
STORNOWAY PORTFOLIO MANAGEMENT INC.	18410	>Limited Market Dealer & Investment Counsel & Portfolio Manager
STRAND SECURITIES CORPORATION	3320	>Limited Market Dealer
STRATEGIC ANALYSIS (1994) CORPORATION	3260	>Investment Counsel & Portfolio Manager
STRATEGIC FIXED INCOME, L.L.C.	4660	>International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)
STRUCTURED CAPITAL INC.	8060	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
STUART INVESTMENT MANAGEMENT LIMITED	3350	>Investment Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
STYLUS ASSET MANAGEMENT INC.	680	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SUCCESSFUL INVESTOR WEALTH MANAGEMENT INC.	6350	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SUMMERHILL CAPITAL MANAGEMENT INC.	16980	>Investment Counsel & Portfolio Manager
SUMMERWOOD CAPITAL CORP.	23700	>Commodity Trading Manager & Commodity Trading Counsel
SUMMERWOOD CAPITAL CORP.	23700	>Limited Market Dealer & Investment Counsel & Portfolio Manager
SUN LIFE ASSET MANAGEMENT INC.	27680	>Investment Counsel & Portfolio Manager
SUN LIFE FINANCIAL INVESTMENT SERVICES (CANADA) INC./PLACEMENTS FINANCIERE SUN LIFE (CANADA) INC.	2260	>Mutual Fund Dealer & Limited Market Dealer
SUN LIFE FINANCIAL INVESTMENT SERVICES (CANADA) INC./PLACEMENTS FINANCIERE SUN LIFE (CANADA) INC.	2260	>Mutual Fund Dealer
SUNEL SECURITIES INC.	24940	>Limited Market Dealer
SUNTRUST ROBINSON HUMPHREY, INC.	1230	>International Dealer
SUPERSTAR INVESTMENT CORP.	6740	>Mutual Fund Dealer
SUSQUEHANNA FINANCIAL GROUP, LLLP	11940	>International Dealer
SWIFT TRADE INC.	12730	>Limited Market Dealer
SYMPHONY ASSET MANAGEMENT LLC	18940	>International Adviser (Investment Counsel & Portfolio Manager)
SYSTEMATIC FINANCIAL MANAGEMENT, L.P.	16760	>International Adviser (Investment Counsel & Portfolio Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
T. ROWE PRICE (CANADA), INC.	4570	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
T.E. INVESTMENT COUNSEL INC. / CONSEILLERS EN PLACEMENTS T.E.	4720	>Limited Market Dealer & Investment Counsel & Portfolio Manager
T.I.P. WEALTH MANAGER INC.	23710	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TACITA CAPITAL INC.	23760	>Investment Counsel & Portfolio Manager
TACTICAL PARADIGM WEALTH STRATEGIES LTD.	27950	>Limited Market Dealer
TAGGART GALT CAPITAL INC.	15870	>Limited Market Dealer
TAILWIND CAPITAL INC.	16930	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TAMARACK CAPITAL ADVISORS INC.	27300	>Limited Market Dealer
TANREN CORPORATION	24130	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TCW ASSET MANAGEMENT COMPANY	3680	>International Adviser (Investment Counsel & Portfolio Manager)
TCW INVESTMENT MANAGEMENT COMPANY	7790	>International Adviser (Investment Counsel & Portfolio Manager)
TD ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS TD INC.	5850	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
TD INVESTMENT SERVICES INC. / SERVICES D'INVESTISSEMENT TD INC.	11610	>Mutual Fund Dealer & Limited Market Dealer
TD SECURITIES (USA) LLC / VALEURS MOBILIERES TD (USA)	6590	>International Dealer
TD SECURITIES INC. / VALEURS MOBILIERES TD INC.	5860	>Investment Dealer & Futures Commission Merchant
TD WATERHOUSE CANADA INC.	8950	>Investment Dealer
TD WATERHOUSE PRIVATE INVESTMENT COUNSEL INC. / GESTION PRIVEE TD WATERHOUSE INC.	18660	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TEACHERS PERSONAL INVESTORS SERVICES, INC.	28650	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
TEMPLETON ASSET MANAGEMENT LTD.	4770	>International Adviser (Investment Counsel & Portfolio Manager)
TEN STAR FINANCIAL INC.	6320	>Mutual Fund Dealer & Limited Market Dealer
TENTH POWER SECURITIES LTD.	22240	>Limited Market Dealer
TERA CAPITAL CORPORATION	6660	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TETREM CAPITAL MANAGEMENT LTD. / GESTION DE CAPITAUX TETREM	17850	>Limited Market Dealer
TETREM CAPITAL MANAGEMENT LTD. / GESTION DE CAPITAUX TETREM	17850	>Extra-Provincial Investment Counsel & Portfolio Manager
TFP INVESTMENT COUNSEL CORP.	16940	>Extra-Provincial Investment Counsel & Portfolio Manager
THE BOSTON COMPANY ASSET MANAGEMENT, LLC	15820	>International Adviser (Investment Counsel & Portfolio Manager)
THE BUCKINGHAM RESEARCH GROUP INCORPORATED	470	>International Dealer
THE BUSINESS PLACE LTD.	1860	>Limited Market Dealer
THE CATALYST CAPITAL GROUP INC.	25600	>Investment Counsel & Portfolio Manager
THE COMMERCIAL CAPITAL SECURITIES INC.	8370	>Limited Market Dealer
THE INVESTMENT HOUSE OF CANADA INC.	15690	>Mutual Fund Dealer & Limited Market Dealer
THE LAUNCH FACTORY INC.	24180	>Limited Market Dealer
THE LAUREL HILL ADVISORY GROUP COMPANY	28790	>Limited Market Dealer
THE PALLAS ATHENA CORPORATION / CORPORATION PALLAS ATHENA	2720	>Investment Counsel & Portfolio Manager
THE SUCCESSFUL INVESTOR INC. / L'INVESTISSEUR PERFORMANT INC.	5720	>Securities Adviser
THE WINNINGTON CAPITAL GROUP INC.	22100	>Limited Market Dealer & Investment Counsel & Portfolio Manager
THINKEQUITY, LLC	23500	>International Dealer
THINKORSWIM CANADA INC.	26080	>Investment Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
THOMAS CAPITAL GROUP, INC	18460	>International Dealer
THOMAS WEISEL PARTNERS CANADA INC./THOMAS WEISEL PARTENAIRES CANADA INC.	3370	>Broker & Investment Dealer
THOMAS WEISEL PARTNERS LLC	8710	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
THORNBURG INVESTMENT MANAGEMENT, INC.	12460	>International Adviser (Investment Counsel & Portfolio Manager)
THORNMARK ASSET MANAGEMENT INC.	7730	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TIMBERCREEK ASSET MANAGEMENT INC.	26680	>Limited Market Dealer
TIMBERCREEK INVESTMENT MANAGEMENT INC.	28370	>Investment Counsel & Portfolio Manager
TIMBERCREEK INVESTMENT MANAGEMENT INC.	28370	>Limited Market Dealer
TMS/TAX MANAGEMENT SOLUTIONS INC.	25140	>Limited Market Dealer
TOLL CROSS SECURITIES INC.	1280	>Investment Dealer
TONUS CAPITAL INC.	25670	>Limited Market Dealer
TONUS CAPITAL INC.	25670	>Extra-Provincial Investment Counsel & Portfolio Manager
TOPLIFT SECURITIES LTD.	26700	>Limited Market Dealer
TORON CAPITAL MARKETS INC.	3690	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
TORONTO RESEARCH & TRADING LTD.	4430	>Commodity Trading Manager
TOWER ASSET MANAGEMENT INC.	17030	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TRADEWEB LLC	20870	>International Dealer
TRADEWINDS GLOBAL INVESTORS, LLC	22620	>International Adviser (Investment Counsel & Portfolio Manager)
TRADEX MANAGEMENT INC. / GESTION TRADEX INC.	3670	>Mutual Fund Dealer
TRADITION ASIEL SECURITIES INC.	21390	>International Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
TRALUCENT ASSET MANAGEMENT INC.	27890	>Investment Counsel & Portfolio Manager
TRALUCENT ASSET MANAGEMENT INC.	27890	>Limited Market Dealer
TRANSAMERICA INVESTMENT MANAGEMENT, LLC	10270	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
TRAPEZE ASSET MANAGEMENT INC.	8150	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TRAPEZE CAPITAL CORP.	8030	>Investment Dealer
TRIACT CANADA MARKETPLACE LP	21250	>Investment Dealer
TRICYCLE ASSET MANAGEMENT CAPITAL CORPORATION	9800	>Limited Market Dealer
TRILOGY GLOBAL ADVISORS, LLC	26180	>International Adviser (Investment Counsel & Portfolio Manager)
TRILOGY GLOBAL ADVISORS, LLC	26180	>Limited Market Dealer
TRINITY WOOD CAPITAL CORPORATION	7580	>Limited Market Dealer
TRISTONE CAPITAL INC.	9680	>Investment Dealer
TRIUMPH ASSET MANAGEMENT INC.	18830	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TROON NORTH CAPITAL INC.	28140	>Investment Counsel & Portfolio Manager
TT INTERNATIONAL	9810	>International Adviser (Investment Counsel & Portfolio Manager)
TULETT, MATTHEWS & ASSOC. INC.	20100	>Investment Counsel & Portfolio Manager
TULLETT PREBON CANADA LIMITED	20410	>Limited Market Dealer
TURNER INVESTMENT PARTNERS, INC.	10410	>International Adviser (Investment Counsel & Portfolio Manager)
TURTLE CREEK ASSET MANAGEMENT INC.	15890	>Limited Market Dealer & Investment Counsel & Portfolio Manager
TUSCARORA CAPITAL INC.	6020	>Investment Dealer
TWEEDY, BROWNE COMPANY LLC	11430	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer

List of Ontario Registrants

FIRM NAME

NRD_NUM

OSC REGISTRATION CATEGORY

IDA APPROVAL CATEGORY

TWENTY-FIRST CENTURY FUNDS INC.

5900 > Limited Market Dealer

TWENTY-FIRST CENTURY FUNDS INC.

5900 > Mutual Fund Dealer

TWENTY-FIRST CENTURY FUNDS INC.

5900 > Mutual Fund Dealer & Limited Market Dealer

TWILIGHT CAPITAL INC.

28030 > Limited Market Dealer

TWP & COMPANY INVESTMENT MANAGEMENT INC.

21600 > Limited Market Dealer & Investment Counsel & Portfolio
Manager

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
U.S. GLOBAL INVESTORS, INC.	23720	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
UBEQUITY CAPITAL PARTNERS INC.	25160	>Limited Market Dealer
UBS AG	3400	>International Adviser (Investment Counsel & Portfolio Manager)
UBS AG	3400	>International Dealer
UBS FINANCIAL SERVICES INC.	2970	>International Adviser (Investment Counsel & Portfolio Manager)
UBS FINANCIAL SERVICES INC.	2970	>International Dealer
UBS GLOBAL ASSET MANAGEMENT (CANADA) INC. / UBS GESTION GLOBALE D'ACTIFS	710	>Limited Market Dealer & Investment Counsel & Portfolio Manager & Commodity Trading Manager
UBS INVESTMENT MANAGEMENT CANADA INC. / GESTION DES PLACEMENTS UBS CANADA INC.	8450	>Limited Market Dealer & Investment Counsel & Portfolio Manager
UBS SECURITIES CANADA INC./UBS VALEURS MOBILIERES CANADA INC.	330	>Investment Dealer
UBS SECURITIES LLC	3740	>International Dealer
ULLICO INVESTMENT ADVISORS, INC.	24300	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
ULLICO INVESTMENT COMPANY, INC.	23530	>Limited Market Dealer
UNICREDIT CAPITAL MARKETS, INC.	26560	>International Dealer
UNION SECURITIES LTD. / VALEURS MOBILIERES UNION LTEE	5980	>Investment Dealer & Futures Commission Merchant
UNITED FINANCIAL CORPORATION	2030	>Investment Counsel & Portfolio Manager
UNITED FINANCIAL CORPORATION	2030	>Limited Market Dealer
UNIVERSITY OF TORONTO ASSET MANAGEMENT CORPORATION	16840	>Investment Counsel & Portfolio Manager
UOB KAY HIAN (U.S.) INC.	26060	>International Dealer
USC EDUCATION SAVINGS PLANS INC. / USC REGIMES D'EPARGNE-ETUDES INC.	3230	>Scholarship Plan Dealer

May/15/2009
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List of Ontario Registrants

FIRM NAME

NRD_NUM

OSC REGISTRATION CATEGORY

IDA APPROVAL CATEGORY

UVESCO SECURITIES INC.

3750 >Limited Market Dealer

UXBRIDGE CAPITAL FUNDING INC.

28210 >Investment Counsel & Portfolio Manager

UXBRIDGE CAPITAL FUNDING INC.

28210 >Limited Market Dealer

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
VALEURS MOBILIERES BANQUE LAURENTIENNE INC. / LAURENTIAN BANK SECURITIES INC.	410	>Investment Dealer
VALEURS MOBILIERES INVESTPRO INC. / INVESTPRO SECURITIES INC.	6420	>Investment Dealer
VALEURS MOBILIERES N M ROTHSCHILD & SONS CANADA LIMITEE / N M ROTHSCHILD & SONS CANADA SECURITIES LIMITED	7100	>Investment Dealer
VALUE INVESTMENT PLANNING CENTRE INC.	5550	>Mutual Fund Dealer & Limited Market Dealer
VALUE-SCIENCES INC.	4100	>Investment Counsel & Portfolio Manager
VAN BERKOM AND ASSOCIATES INC.	3800	>Extra-Provincial Investment Counsel & Portfolio Manager
VAN BERKOM AND ASSOCIATES INC.	3800	>Extra Provincial Limited Market Dealer & Investment Counsel & Portfolio Manager
VAN ECK ABSOLUTE RETURN ADVISERS CORPORATION	16670	>Commodity Trading Manager (Non-Resident)
VANGUARD MARKETING CORPORATION	11070	>International Dealer
VANTAGE CAPITAL LP	26140	>Limited Market Dealer
VANTAGE CAPITAL LP	26140	>Investment Counsel & Portfolio Manager
VENABLE PARK INVESTMENT COUNSEL INC.	21780	>Investment Counsel & Portfolio Manager
VENATOR CAPITAL MANAGEMENT LTD.	22250	>Limited Market Dealer & Investment Counsel & Portfolio Manager
VENGROWTH CAPITAL MANAGEMENT INC.	5040	>Investment Counsel & Portfolio Manager
VERACAP CORPORATE FINANCE LIMITED	21470	>Limited Market Dealer
VERITAS INVESTMENT RESEARCH CORPORATION	10420	>Limited Market Dealer & Investment Counsel & Portfolio Manager
VERITY INVESTMENT COUNSEL INC.	14680	>Extra-Provincial Investment Counsel & Portfolio Manager
VESTCAP INVESTMENT MANAGEMENT INC.	3770	>Investment Counsel & Portfolio Manager
VICTORY CAPITAL MANAGEMENT INC.	23690	>International Adviser (Investment Counsel & Portfolio Manager)
VIKING CAPITAL CORP.	10730	>Limited Market Dealer & Investment Counsel & Portfolio Manager

May/15/2009

10:33:59AM

List of Ontario Registrants

FIRM NAME

NRD_NUM

OSC REGISTRATION CATEGORY

IDA APPROVAL CATEGORY

VINING-SPARKS IBG, LIMITED PARTNERSHIP

5640 >International Dealer

VISION CAPITAL CORPORATION

13070 >Investment Counsel & Portfolio Manager

VISION CAPITAL CORPORATION

13070 >Limited Market Dealer

VL ADVISORS INC.

22210 >Investment Counsel & Portfolio Manager

VOTAS FINANCIAL CORP.

17840 >Investment Counsel & Portfolio Manager

VOYAGEUR ASSET MANAGEMENT INC.

7240 >International Adviser (Investment Counsel & Portfolio
Manager)

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
W.A. ROBINSON & ASSOCIATES LTD.	12660	>Limited Market Dealer & Investment Counsel & Portfolio Manager
W.D. LATIMER CO. LIMITED	1950	>Broker & Investment Dealer
W.H. STUART MUTUALS LTD.	3310	>Mutual Fund Dealer
WACHOVIA CAPITAL MARKETS, LLC	17200	>International Dealer
WALTER SCOTT & PARTNERS LIMITED	4110	>International Adviser (Investment Counsel & Portfolio Manager)
WALTON CAPITAL MANAGEMENT INC.	21680	>Limited Market Dealer
WATERSTREET FAMILY CAPITAL COUNSEL INC.	28280	>Investment Counsel & Portfolio Manager
WATERSTREET FAMILY CAPITAL COUNSEL INC.	28280	>Limited Market Dealer
WATSON DI PRIMIO STEEL (WDS) INVESTMENT MANAGEMENT LTD.	13000	>Investment Counsel & Portfolio Manager
WATT CARMICHAEL INC.	3870	>Broker & Investment Dealer
WATT CARMICHAEL PRIVATE COUNSEL INC.	27470	>Investment Counsel & Portfolio Manager
WEALHOUSE PARTNERS	27690	>Investment Counsel & Portfolio Manager
WEALHOUSE PARTNERS	27690	>Limited Market Dealer
WEALTH ADVISORY SERVICES LTD.	3020	>Mutual Fund Dealer & Limited Market Dealer
WEALTH CREATION & PRESERVATION INC.	23920	>Limited Market Dealer
WEBB ASSET MANAGEMENT CANADA, INC.	24600	>Limited Market Dealer & Investment Counsel & Portfolio Manager
WEDGE CAPITAL MANAGEMENT L.L.P.	9610	>International Adviser (Investment Counsel & Portfolio Manager)
WELLINGTON MANAGEMENT COMPANY, LLP	3910	>Limited Market Dealer
WELLINGTON MANAGEMENT COMPANY, LLP	3910	>Commodity Trading Manager (Non-Resident)
WELLINGTON MANAGEMENT COMPANY, LLP	3910	>Non-Canadian Adviser (Investment Counsel & Portfolio Manager)
WELLINGTON WEST CAPITAL INC./CAPITAL WELLINGTON OUEST	23480	>Investment Dealer & Futures Commission Merchant

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
WELLINGTON WEST CAPITAL MARKETS INC./ MARCHES FINANCIERS WELLINGTON WEST INC.	8900	>Broker & Investment Dealer
WELLINGTON WEST FINANCIAL SERVICES INC.	14010	>Mutual Fund Dealer
WELLINGTON WEST TOTAL WEALTH MANAGEMENT INC.	13900	>Investment Counsel
WELLS CAPITAL MANAGEMENT, INC.	13300	>International Adviser (Investment Counsel & Portfolio Manager)
WENTWORTH, HAUSER AND VIOLICH, INC.	23960	>International Adviser (Investment Counsel & Portfolio Manager)
WESLOSKY & COWANS LTD.	12840	>Limited Market Dealer
WEST FACE CAPITAL INC.	21620	>Limited Market Dealer & Investment Counsel & Portfolio Manager
WEST OAK CAPITAL PARTNERS INC.	20920	>Limited Market Dealer
WESTBORO MANAGEMENT LTD.	29160	>Limited Market Dealer
WESTERN ASSET MANAGEMENT COMPANY	24820	>Commodity Trading Manager (Non-Resident)
WESTERN ASSET MANAGEMENT COMPANY	24820	>International Adviser (Investment Counsel & Portfolio Manager)
WESTFIELD CAPITAL MANAGEMENT COMPANY, LLC	15780	>International Adviser (Investment Counsel & Portfolio Manager)
WESTLB SECURITIES INC.	7630	>International Dealer
WESTMINSTER RESEARCH ASSOCIATES LLC	12980	>International Dealer
WESTPAC BANKING CORPORATION	26220	>International Dealer
WFG SECURITIES OF CANADA INC.	7020	>Mutual Fund Dealer
WFG SECURITIES OF CANADA INC.	7020	>Scholarship Plan Dealer
WFG SECURITIES OF CANADA INC.	7020	>Mutual Fund Dealer & Scholarship Plan Dealer
WHITE CAPITAL CORPORATION	25390	>Limited Market Dealer
WICKHAM INVESTMENT COUNSEL INC.	9850	>Investment Counsel & Portfolio Manager
WIL-ARM INC.	5630	>Extra-Provincial Securities Adviser

List of Ontario Registrants

<u>FIRM NAME</u>	<u>NRD_NUM</u>	<u>OSC REGISTRATION CATEGORY</u> <u>IDA APPROVAL CATEGORY</u>
WILLIAM BLAIR & COMPANY, L.L.C.	5940	>International Adviser (Investment Counsel & Portfolio Manager) & International Dealer
WILLIAMS TRADING CANADA ULC	27590	>Limited Market Dealer
WILSHIRE ASSOCIATES INCORPORATED	28690	>International Adviser (Investment Counsel & Portfolio Manager)
WINDCROFT FINANCIAL COUNSEL LIMITED	3830	>Investment Counsel & Portfolio Manager
WINDERMERE CAPITAL (CANADA) INC.	24490	>Limited Market Dealer
WINDSONG PARTNERS INC.	21940	>Limited Market Dealer
WINDSOR WEALTH MANAGEMENT LIMITED	16350	>Limited Market Dealer
WINDSTAR EQUITIES LTD.	3930	>Limited Market Dealer
WINGATE INVESTMENT MANAGEMENT LTD	10240	>Limited Market Dealer & Investment Counsel & Portfolio Manager
WINSLOW CAPITAL MANAGEMENT, INC.	29260	>International Adviser (Investment Counsel & Portfolio Manager)
WIRTH ASSOCIATES INC.	3890	>Investment Counsel & Portfolio Manager
WISE CAPITAL MANAGEMENT INC.	10610	>Limited Market Dealer & Investment Counsel & Portfolio Manager
WOLFCREST CAPITAL ADVISORS INC.	5530	>Investment Counsel & Portfolio Manager
WOLVERTON SECURITIES LTD	5510	>Broker & Investment Dealer
WOODBOURNE CAPITAL MANAGEMENT INTERNATIONAL LP	29340	>International Adviser (Investment Counsel & Portfolio Manager)
WOODSTONE CAPITAL INC.	7540	>Investment Dealer
WORLDSOURCE FINANCIAL MANAGEMENT INC./GESTION FINANCIERE WORLDSOURCE INC.	830	>Mutual Fund Dealer & Limited Market Dealer
WORLDSOURCE SECURITIES INC./ VALEURS MOBILIERES WORLDSOURCE INC.	11720	>Investment Dealer
WORSLEY ENTERPRISE CORP.	27010	>Limited Market Dealer

May/15/2009

10:33:59AM

List of Ontario Registrants

FIRM NAME

NRD_NUM

OSC REGISTRATION CATEGORY

IDA APPROVAL CATEGORY

WUTHERICH & COMPANY INVESTMENT COUNSEL
INC./ CONSEILLERS EN VALEURS WUTHERICH &
COMPAGNIE INC.

14370 >Extra-Provincial Investment Counsel & Portfolio Manager

XT CAPITAL PARTNERS LLC

24800 >Limited Market Dealer

Y.I.S. FINANCIAL INC.

4190 >Mutual Fund Dealer & Limited Market Dealer

YOUFIRST FINANCIAL INC.

26590 >Investment Counsel & Portfolio Manager

YOURCFO ADVISORY GROUP INC.

9990 >Broker & Investment Dealer

ZEBRA PROFESSIONAL MONEY MANAGERS INC.

24120 >Limited Market Dealer

ZED FINANCIAL PARTNERS

12560 >Limited Market Dealer