

**CSA STAFF NOTICE 33-307****LIST OF CANADIAN REGISTRANT AND NON-REGISTRANT FIRMS THAT COMPLETED THE CSA STP READINESS ASSESSMENT SURVEY**

The Canadian Securities Administrators (CSA), an umbrella organization of 13 provincial and territorial securities regulators, believe that straight-through processing (STP) is an extremely important initiative. The CSA provided a STP Readiness Assessment Survey ("Survey") to Canadian registrant and non-registrant firms ("Firms") to assess the preparedness of the industry in Canada for STP.

The Survey was available online from **May 9 to May 30, 2003**. The CSA asked investment dealers; mutual fund dealers; investment counsels and/or portfolio managers; limited market dealers; mutual fund managers; discount brokers (Quebec registrant category); and unrestricted brokers (Quebec registrant category) to complete the Survey. We asked nearly 998 Canadian Firms to participate in the Survey and received 732 responses. The CSA is now in the process of tabulating the results and will publish the aggregate results of the Survey in the fall.

Below is a list of Canadian Firms who have taken the time to complete the voluntary Survey.

ABN AMRO Asset Management Canada Limited  
ABN AMRO Capital Markets Canada Limited  
Abria Financial Products Ltd.  
Acadian Securities Inc.  
Accilent Capital Management Inc.  
Accumulux Investment Management Ltd.  
Ackber Financial Corporation  
Acker Finley Asset Management Inc.  
Acker Finley Inc.  
Acquisitions, Investments, Mergers Group Canada Limited  
Action Valeur Ajoutée Inc.  
Acuity Funds Ltd.  
Acuity Investment Management Inc.  
Acumen Capital Finance Partners Limited  
ADA Investments Inc.  
Addenda Capital Inc.  
Adoit Investment Management Ltd.  
Adroit Group Ltd.  
Aegon Canada

AEGON Capital Management Inc.  
AEGON Dealer Services Canada Inc.  
Aequanimitas Inc.  
AGF Funds Inc.  
AGF Securities (Canada) Limited  
Agilerus Investment Management Limited  
AIC Limited  
AIG Global Investment Corp. (Canada)  
AIM Funds Management Inc.  
Alan W. McFarlane Associates  
All-Canadian Management Inc.  
Allianz Education Funds, Inc.  
Altamira Investment Services Inc.  
Altamira Management Ltd.  
Altus Securities Inc.  
AMI Partners Inc.  
ANIX Fund Management Corp.  
Anvest Financial Services Inc.  
ARC Financial Corporation  
Archipela go Canada Inc.  
Argosy Securities Inc.  
Armstrong & Quaile Associates Inc.  
Artech Asset Advisory Services Inc.  
Ascendant Capital Inc.  
Ascendant Capital Management Inc.  
ASG Financial Corp.  
Ashford Capital Canada Inc.  
Aspen Futures & Options Inc.  
Assante Asset Management Ltd.  
Assante Capital Management Ltd.  
Assante Financial Management Ltd.  
Asset Logics Capital Management Inc.  
Assurance Capital Management Corporation  
Aurion Capital Management Inc.  
Avanti Securities Corporation  
Avenue Bancorp Ltd.  
Avenue Wealth Management Inc.  
Axis Capital Corporation  
Baker Gilmore & Associés Inc.  
Bank Julius Baer & Co. Ltd.  
Banwell Financial Inc.  
Barclays Global Investors Canada Limited  
Barclays Global Investors Services Canada Limited  
Barrantagh Investment Management Inc.  
Baskin Financial Services Inc.  
Bedford Capital Corporation

Benson-Quinn-GMS Inc.  
Berkshire Securities Inc.  
Beutel Goodman Managed Funds Inc.  
Beutel, Goodman & Company Ltd.  
Bick Financial Security Corporation  
Bieber Securities Inc.  
BioCatalyst Yorkton Inc.  
Biremis Corporation  
BLC - Edmond de Rothschild Gestion d'Actifs Inc.  
Bloom Investment Counsel, Inc.  
Bluestone Financial Corporation  
Bluewater Investment Management Inc.  
BluMont Capital Corporation  
BMO Harris Investment Management Inc.  
BMO Investments Inc.  
BMO InvestorLine Inc.  
Bolder Investment Partners  
BonaVista Asset Management Ltd.  
Borealis Securities Inc.  
Boucher & Company Inc.  
Bradley Leonard Jones  
Brant Securities Limited  
Brawley Cathers Limited  
Buckingham Capital Corporation  
Bullion Management Services Inc.  
Bureen Financial Management Corporation  
Burgeonvets Securities  
Burgundy Asset Management Ltd.  
Bush Associés Ltée  
Byron Securities Limited  
C.A. Delaney Capital Management Ltd.  
C.F.G. Heward Investment Management Ltd.  
C.P.M.S. Computerized Portfolio Management Services Inc.  
Caldwell Investment Banking Inc.  
Cale Financial Corporation  
Callum/Jackson Bancorp Inc.  
Campbell & Lee Investment Management Inc.  
Campbell Valuation Partners Limited  
Canaccord Capital Corporation  
Canada Life Mortgage Services Ltd.  
Canadian ShareOwner Investments Inc.  
CanDeal.ca Inc.  
Canfin Magellan Investments Inc.  
Canso Investment Counsel, Ltd.  
CAP Investment Management Inc.  
Capital Alliance Ventures Inc.

Capital Canada Limited  
Capital Genoa Inc.  
Capital International Asset Management (Canada), Inc.  
Cartier Partners Financial Services Inc.  
Cartier Partners Securities Inc.  
Casgrain & Compagnie Limitée  
Castellum Capital Management Inc.  
CBID Markets Inc.  
CDP Capital Marchés Mondiaux inc.  
Centerfire Capital Management Inc.  
Centurion Investment Advisors Inc.  
Certus Wealth Management Inc.  
CFI Leasing Limited  
CGU Investment Management Canada  
Chiefswood Investment Management Inc.  
Chinook Agri Marketing Inc.  
Chou Associates Management Inc.  
CI Fund Services Inc.  
CI Mutual Funds Inc.  
CIBC Asset Management Inc.  
CIBC Investor Services Inc.  
CIBC Securities Inc.  
CIBC World Markets Inc.  
Cirplus Futures Inc.  
CL Capital Management (Canada) Inc.  
Claremont Advisors Ltd.  
Clarica Investco Inc.  
ClaringtonFunds Inc.  
Clipper Advisors Ltd.  
Closeburn Management Ltd.  
Cluster Asset Management Ltd.  
CMG-Worldsource Financial Services Inc.  
CMS Investment Resources (Canada) Inc.  
Coast Capital Investments  
Cockfield Porretti Cunningham Investment Counsel  
Cogesfonds Inc.  
Coleford Investment Management Ltd.  
Commodity Management Inc.  
Commonfund Canada Inc.  
Confident Financial Services (1969) Limited  
Coniston Investment Corp.  
Connor, Clark & Lunn Arrowstreet Capital Ltd.  
Connor, Clark & Lunn Capital Markets  
Connor, Clark & Lunn Financial Group  
Connor, Clark & Lunn Private Capital Management  
Conseillers en Placements Kerr Inc. (Les)

Conseillers en Valeurs Chabotpage Inc. (Les)  
Conseillers en Valeurs Visavis Inc.  
Conseillers Interinvest Corporation du Canada Ltée  
Co-operators Investment Counselling Limited  
Corporation Gestion de Placements Claret  
Cougar Global Investments Limited Partnership  
Covington Capital Corporation  
Cowans & Company Ltd.  
Coxswain Row Capital Corporation  
CPA Securities Inc.  
Craig & Taylor Financial Services Inc.  
Crane Capital Associates (Canada) Inc.  
Cranston, Gaskin, O'Reilly & Vernon  
Credential Securities Inc.  
Credifinance Securities Limited  
Credit Suisse First Boston Canada Inc.  
Crescent Capital Corp.  
Creststreet Asset Management Limited  
Crosbie & Company Inc.  
Crosbie Capital Management Inc.  
Crystal Wealth Management System Ltd.  
Cumberland Asset Management Corp.  
Cunningham Investment Counsel Inc.  
CWB Canadian Western Financial Ltd.  
CWM Funds Inc.  
CWM Investment Counsel Inc.  
D.A.W. Services Ltd.  
D.W. Good Investment Co. Ltd.  
Danz Financial Corporation  
Dattner Consulting (sole proprietorship)  
Davis-Rea Ltd.  
De Thomas Financial  
Deans Knight Capital Management Ltd.  
Delmar Investments Inc.  
DePutter Publishing Ltd.  
Desjardins Trust Investment Services Inc.  
Deutsche Bank Securities Limited  
DG Walkow, Investment Counsel Inc.  
Di Tomasso Group Inc.  
DNL Money Management Ltd.  
Dominick & Dominick Securities Inc.  
Dominion Equity Resource Fund Inc.  
DONRO Financial Ltd.  
Dorchester Investment Management  
Douglas Capital Inc.  
Drake Goodwin & Co. Canada Limited

Dundee Securities Corporation  
Dusby Management Corp.  
Dynamic Mutual Fund Services Inc.  
Dynamic Mutual Funds Ltd.  
E\*TRADE Canada  
E.M. Smithies & Associates Investment Management Inc.  
e3m Investments Inc.  
East Asia Securities Inc.  
Echlin Investment Management Limited  
eFunds.ca Securities Limited  
Elliott & Page Limited  
Elmwood Capital Inc.  
Emerging Equities Inc.  
Enterprise Capital Management Inc.  
Epic Capital Management Inc.  
Equilibrium Capital Management Inc.  
Equilife Investment Management Inc.  
Ernst & Young Corporate Finance Inc.  
ETS Equities Trading Services Inc.  
Evan S. Sone Financial Management Inc.  
Exceder Investment Management Inc.  
Excel Financial Growth Inc.  
F.L. Securities Inc.  
Fahnestock Canada Inc.  
Faiz & Associates Inc.  
Faiz Asset Management Inc.  
Family Investment Planning Inc.  
Family Wealth Advisors Ltd.  
Faraday Financial Corporation  
Farm Mutual Financial Services Inc.  
Felcom Management Corp.  
Fidelity Investments  
Fiducie Desjardins Inc.  
Fimat Produits Dérivés Canada Inc.  
Financial Architects Investments Inc.  
Financial Decisions Inc.  
Finch Asset Management Inc.  
Firestar Capital Management Corporation  
First Affiliated Holdings Inc.  
First Asset Advisory Services Inc.  
First Asset Management Inc.  
First Associates Investments Inc.  
First Canadian Property Investments Ltd.  
First Defined Portfolio Management Co.  
First Leaside Finance Inc.  
First Ontario Management Ltd.

FirstEnergy Capital Corp.  
Fonds des professionnels - Fonds d'investissement  
Forest & Marine Financial Corporation  
Foresters Securities (Canada) Inc.  
Foster & Associates Financial Services  
Fourth Street Capital Ltd.  
Foyston, Gordon & Payne Inc.  
Frank Russell Canada Limited  
Franklin Templeton Investment Corp.  
Freedom International Brokerage Company  
Friedberg Commodity Management Inc.  
Friedberg Mercantile Group  
Front Street Capital Inc.  
Fruchet Asset Management  
Fulton Financial Corporation  
FundEX Investments Inc.  
FundTrade Financial Corp.  
Fusion Capital Partners Inc.  
Galileo Equity Management  
Garmaise Investment Technologies Inc.  
Gary Bean Securities Ltd.  
Gary W. Cox Ltd.  
GBC Asset Management Inc.  
Generation Financial Corp.  
Geneva Merger & Acquisition Services of Canada (Ont.) Inc.  
Genus Capital Management Inc.  
Gestion d'Actif Structurée Inc.  
Gestion d'Arbitrage Cristallin Inc.  
Gestion de Capitaux Rothenberg Inc.  
Gestion de Placements Eterna Inc.  
Gestion de Placements Portus Inc.  
Gestion de Portefeuille Natcan Inc.  
Gestion Monan Inc.  
Giraffe Capital Corporation  
Global Securities Corporation  
Global Trader 24/7 Canada Inc.  
Global Wealth Builders Ltd.  
GlobeInvest Capital Management Inc.  
Globevest Capital Inc.  
Gluskin Sheff + Associates Inc.  
GMPD Consulting Inc.  
Golden Capital Securities  
Goldman Sachs Canada Inc.  
Goldstein Snider Investments Inc.  
Goodhope Management Ltd.  
Goodreid Investment Counsel Corp.

Goodwood Inc.  
GP Capital Corporation  
Granite Associates Ltd.  
Graylie Management Limited  
Great Western Financial Corporation  
Greenleaf Group Inc.  
Griffiths McBurney & Partners  
Groundlayer Capital Inc.  
Groupe Option Retraite Inc. (Le)  
GrowthWorks Capital Ltd.  
GTS Securities  
Guardian Capital Inc.  
Guardian Group of Funds Ltd.  
Gundy Inc.  
GWL Investment Management Ltd.  
GWP Wealth Management Inc.  
H&H Securities Limited  
H.O. Financial Services Inc.  
Hahn Investment Stewards & Company Inc.  
Hamblin Watsa Investment Counsel Ltd.  
Hanover Private Client Corporation  
Harrar Capital Partners Inc.  
Harris Partners Limited  
Hartford Investments Canada Corp.  
Hawk Capital Corporation  
Haywood Securities Inc.  
Heathbridge Graham Inc.  
Hemisphere Capital Management  
Hendrickson Financial Inc.  
Henkedan Corp  
Hesperian Capital Management Ltd.  
Heward MacNicol Asset Management Inc.  
Hibernian Capital Management Ltd.  
Highbridge Financial Advisors, Inc.  
Highstreet Asset Management Inc.  
Hill & Crawford Investment Management Group Ltd.  
Hill & Gertner Capital Corp.  
Hillsdale Investment Management Inc.  
Hottinger Asset Management Canada Inc.  
Howell Investment Management Inc.  
Howson Tattersall Investment Counsel Limited  
HSBC Asset Management (Canada) Ltd.  
HSBC Investment Funds (Canada) Inc.  
HSBC Securities (Canada) Inc.  
Hub Capital Inc.  
Hugues Ouimet + Associates Inc.



Hutton Investment Counsel Inc.  
I.F.S. Securities Inc.  
I.U. Go Capital Inc.  
IBK Capital Corp.  
IMV Strategies Corp  
Independent Accountants' Investment Group Inc.  
Independent Planning Group Inc.  
Independent Trading Group  
INFO Financial Consulting Group Inc.  
ING Direct Funds Limited  
ING Wealth Management Inc.  
Instinet Canada Limited  
Institutional Capital  
Integra Capital  
Integrated Investment Management Inc.  
Interexxim Inc.  
International Capital Management Inc.  
Inverlochy Capital  
Investia Financial Services Inc.  
Investissements en Capital Derek Hirsch Ltée  
Investors Group Inc.  
IOCT Financial Inc.  
IPC Investment Corporation  
IPC Portfolio Management Ltd.  
IPC Securities Corporation  
IPO Capital Corp  
IQON Financial Inc.  
ITG Canada Corp.  
J C Hood Investment Counsel Inc.  
J. Zechner Associates, Inc.  
J.C. Clark Ltd.  
J.F. Mackie & Company  
J.P. Morgan Securities Canada Inc.  
J.R. Senecal & Associates Investment Counsel Corp.  
Jacques Nadeau & Associés Conseillers en Placements Inc.  
Jeffrey D. Stacey & Associates Ltd.  
Jenam Securities Inc.  
JenKriMar Investments Corporation  
Jeremiah Properties Inc.  
JML Portfolio Management Ltd.  
John D. Hillery Investment Counsel Inc.  
John S. Keenlyside & Co. Ltd.  
John To Financial Services Limited  
Jones Collombin Investment Counsel Inc.  
Jones Heward Investment Counsel  
Jones, Gable & Company Limited

Jory Capital Inc.  
JR/Janus Merchant Brokers Ltd.  
Julius Baer Conseil en Investissements (Canada) Ltée  
Juniper Fund Management Corp.  
JVK Life & Wealth Advisory Group Inc.  
K J Harrison & Partners Inc.  
K2 & Associates Investment Management Inc.  
Kaimor Securities Inc.  
KBSH Capital Management Inc.  
Kernaghan Securities Ltd.  
Kingsdale Capital Markets Inc.  
Kingsdale Capital Partners  
KingsGate Securities Limited  
Kingsway Capital of Canada Inc.  
KPMG Corporate Finance Inc.  
Laketon Investment Management Ltd.  
Lancet Asset Management Inc.  
Latitude Partners Securities Inc.  
Lawrence Asset Management Inc.  
Lawrence Capital Partners Inc.  
Lawrence Decter Investment Counsel Inc.  
LBC Financial Services/BLC Services Financiers  
Leesh Investments Inc.  
Leeward Hedge Funds Inc.  
Legacy Investment Management Inc.  
Leon Frazer & Associates Inc.  
Letko, Brosseau & Associés Inc.  
Lighthouse Private Client  
Lightyear Capital Inc.  
LMD Financial Services Corporation  
Loewen, Ondaatje, McCutcheon Limited  
London Life Investment Management Ltd.  
M. Hershberg Capital Limited  
MacDougall, MacDougall & MacTier Inc.  
Mackenzie Financial Corporation  
Magnolia Lane Financial Corp.  
Maison Placements Canada Inc.  
Manitou Investment Management Ltd.  
Manulife Securities International, Ltd.  
Maple Futures Corp.  
Maple Securities Canada Limited  
Mapleridge Capital Corporation  
Marquest Investment Counsel Inc.  
Marret Asset Management Inc.  
Martin, Lucas & Seagram Ltd.  
Mavrix Funds Management Inc.

Mawer Investment Management  
Maxima Investment Management Ltd.  
MCA Valeurs Mobilières Inc.  
MCAP Securities Inc.  
McFarlane Gordon Inc.  
McKay Financial Management Limited  
McKenna Gale Securities Inc.  
McLean & Partners Wealth Management  
McLean Budden Limited  
McLean Financial Management Inc.  
MD Funds Management Limited  
MD Management Limited  
MD Private Investment Management Inc.  
MDS Health Ventures Management Inc.  
Medallion Capital Corp.  
MediaVentures  
MediaVentures Brokerage  
MediaVentures Corporation  
Mellon Asset Management, Limited  
Merchant Capital Wealth Management Corp.  
Merrill Lynch Canada Inc.  
Merrill Lynch HSBC Canada Inc.  
META Financial Management Ltd.  
MFC Global Investment Management  
Middlefield  
Miikary Investments Ltd.  
Milestone Investment Counsel Inc.  
Milford Capital Management Inc.  
Mirabaud Canada Inc.  
Mitchell, Jenner & Associates Inc.  
Mizrahi & Mizrahi Ltd.  
Monarch Delaney Financial Inc.  
Mondiale Asset Management Ltd.  
MoneyWare Inc.  
Morgan Bay Capital Inc.  
Morgan Meighen & Associates Limited  
Morgan Stanley Canada Limited  
Morguard Financial Corp.  
MRS  
MRS Trust  
Murray & Company Investment Services Ltd.  
Mutual Propane Ltd.  
N M Rothschild & Sons Canada Securities Limited  
N.D. Moffat Investment Management Ltd.  
NAPG Equities Inc.  
National Bank Discount Brokerage Inc.

National Bank Financial Inc.  
National Bank Financial Ltd.  
National Bank Securities Ltd.  
National Bank Trust Inc.  
NBCN  
NBCN Compensation  
NBF Securities USA  
NBG Securities Inc.  
NCI Money Management Ltd.  
Networth Financial Corp.  
New Solutions Capital Partners Ltd.  
Newcourt Securities Inc.  
Newhouse Capital Corporation  
NewPoint Capital Partners  
Nexus Investment Management Inc.  
Nigel Stephens Counsel Inc.  
Nomura Canada Inc.  
Norlyn Financial Group Inc.  
Norstar Securities International Inc.  
Northern Rivers Capital Management Inc.  
Northwest Asset  
Northwest Asset Management  
Northwest Asset Management Inc.  
Northwest Mutual  
Northwest Mutual Funds Inc.  
NT Global Advisors, Inc.  
O.P.M. Ventures Inc.  
Octagon Capital Corporation  
O'Donnell Asset Management Corp.  
Odyssey Capital Corporation  
Ojala Financial Corp.  
Olympian Financial Inc.  
Olympus United Group  
ONE Financial  
Ontario Financial Services Inc.  
Open Access Limited  
Optimal Models and Decisions Inc.  
Opus 2 Financial Inc.  
Opus 2 Securities Inc.  
Orenda Corporate Finance Ltd.  
Orientation Finance Inc.  
Osprey Capital Partners  
OTG Financial Inc.  
P.J. Doherty & Associates Co. Ltd.  
Pacific International Securities Inc.  
PanFin EquiCap Ltd.

Paradigm Capital Inc.  
PARC Capital Management Limited  
Patient Capital Management Inc.  
PCJ Investment Counsel Ltd.  
PEAK Investment Services Inc.  
PEAK Securities Inc.  
Pegasus Ontario Holdings Ltd.  
Pendo Capital Inc.  
Peregrine Financial Group Canada, Inc.  
Performance Capital Limited  
Perigee Investment Counsel Inc.  
Peter Yuile & Co. Ltd.  
Peters & Co. Limited  
PFSL Investments Canada Ltd.  
Phillips, Hager & North  
Placements Elantis Inc.  
Planmar Financial Corp.  
Planning Circle Financial Group Inc.  
Platinum Wealth Management Inc.  
Plum Hollow Investments Inc.  
Polar Securities Inc.  
Pollitt & Co Inc.  
Polyfunds Investment Inc.  
Pope & Company  
Portfolio Management Corporation  
Portfolio Strategies Corp.  
Prebon Marshall Yamane London  
PricewaterhouseCoopers Securities Inc.  
Prime Quadrant LP  
Priority Capital Management Inc.  
Professional Investments (Kingston) Inc.  
Progressive Financial Strategy Capital Group Corp.  
Proxima Capital Management Limited  
Pursuit Financial Services Corp  
QFS Financial Services Ltd.  
Qtrade Investor Inc.  
Quadravest Capital Management Inc.  
Quadrus Investment Services Ltd.  
Quaestor Capital Corporation  
Quant Investment Strategies Inc.  
Queensway Investment Counsel Limited  
Questrade, Inc.  
Quorum Funding SME Corporation  
QVGD Investors Inc.  
R.A.Floyd Capital Management Inc.  
R.E.G.A.R. Gestion Privée Inc.

R.G. Shoniker & Associates Inc.  
R.N. Croft Financial Group Inc.  
Rae & Lipskie Investment Counsel Inc.  
Rattenbury Financial Management Inc.  
Raymond James Ltd.  
RBC Action Direct Inc./RBC Actions En Direct  
RBC Dominion Securities Inc.  
RBC Global Investment Management Inc.  
RBC Private Counsel Inc.  
RealCap Holdings Limited  
Realty Capital Securities  
Red Barn Capital  
Reel Capital Corporation  
Regent Mercantile Bancorp Inc.  
Renaissance Capital Inc.  
Research Capital Corporation  
Resolute Funds Ltd.  
Retrocom Investment Management Inc.  
RFA Capital Management Inc.  
Rice Financial Group Inc.  
Ridge Hill Capital Management Inc.  
Rimcon Inc.  
RJ Shea & Assoc o/a GIC Financial Services  
RMB Gestion du Patrimoine Inc.  
Robert Evans Investment Counsel Limited  
Rockvale Capital Management Inc.  
Rogan Investment Management  
Rogers Group Investment Advisors Ltd.  
ROI Management  
Rosseau Asset Management Ltd.  
RoyCap Securities Inc.  
Salman Partners Inc.  
Savoy Capital Management Ltd.  
Saxon Mutual Funds Limited  
SBVM Securities Inc.  
Scarthingmoor Asset Management Inc.  
Sceptre Investment Counsel Limited  
Sceptre Mutual Fund Dealer Inc.  
Scheer, Rowlett & Associates Investment Mgmt Ltd.  
Scholarship Consultants of North America Ltd.  
SciVest Alternative Strategies Inc.  
SciVest Capital Management Inc.  
Scotia Cassels Investment Counsel Limited  
Scotia Securities Inc.  
Scotiabank/Scotia Capital Inc.  
Security Financial Services & Investment Corp.

SEI Investments Canada Company  
Sentry Select Capital Corp.  
Services d'Investissements GGA Inc. (Les)  
Services Financiers Penson Canada Inc.  
Services Financiers Tulett Inc.  
Shah Financial Planning Inc.  
Sharp Asset Management Inc.  
Shaunessy & Company Ltd.  
Shorcan Brokers Limited  
SHSC Financial Inc.  
Sigma Analysis & Management Ltd.  
Silvercreek Management Inc.  
Sionna Investment Managers Inc.  
Skylon Advisors Inc.  
Skylon Funds Management Inc.  
Skypoint Capital Corporation  
Slabe Inc.  
Société de Fiducie Lombard Odier  
Sprott Asset Management Inc.  
Sprott Securities Inc.  
Sprucegrove Investment Management Ltd.  
Standard Life Assurance Company  
Standard Life Investments Inc.  
Standard Securities Capital Corporation  
Starwood Capital Corporation  
State Farm Investor Services (Canada) Co.  
Status Financial Inc.  
Stern Growth Management Inc.  
Stone Co. Ltd.  
Stone Road Investment Management Inc.  
Stonebridge Financial Corporation  
Stonehouse Capital Management Inc.  
Stratagem Investment Counsel Inc.  
Strategic Advisors Corp.  
Strategic Capital Partners Inc.  
Structured Capital Inc.  
Stuart Investment Management Limited  
Successful Investor Wealth Management Inc.  
Superstar Investment Corp.  
Sussman Mortgage Funding Inc.  
Swift Trade Securities USA Inc.  
Synergy Asset Management Inc.  
Synergy Services Corporation  
T.E. Investment Counsel  
T.H.A. Bodnar & Co. Investment Management Ltd.  
TAL Global Asset Management

Target Investment Planners Inc.  
TD Asset Management  
TD Investment Services Inc.  
TD Securities Inc.  
TD Waterhouse Canada Inc.  
TDK Fund Management Inc.  
TEN STAR Financial Inc.  
Tera Capital Corporation  
The Commercial Capital Securities Inc.  
The Glen Ardith Company Ltd.  
The Pallas Athena Corporation  
Thorhild Management Limited  
Thornmark Asset Management Inc.  
Timber Hill Canada Company  
Transatlantic Securities Company  
Tremont Investment Management, Inc.  
Triax Capital Corporation  
Triax Capital Management Inc.  
Triax Investment Management Inc.  
Triax Management Services Inc.  
Triax Mutual Fund Management Inc.  
Triax-Covington Corporation  
Triglobal Capital Management  
Trilon Securities Corporation  
Trinity Wood Capital Corporation  
Tristone Capital Inc.  
Tullett Liberty Limited  
Tuscarora Capital Inc.  
Tuscarora Investment Management Inc.  
TWC Financial Corp.  
Twenty-first Century Funds Inc.  
UBS Bank Canada  
UBS Global Asset Management  
Union Securities Ltd.  
University Avenue Asset Management Inc.  
Valeurs Mobilières Banque Laurentienne Inc.  
Valeurs Mobilières Desjardins Inc.  
Valeurs Mobilières Everest inc.  
Valeurs Mobilières IForum Inc.  
Value Investment Planning Centre Inc.  
Value Sciences Inc.  
Vancouver City Savings Credit Union  
Vengate Capital Partners Company  
VenGrowth Capital Management Inc.  
Venturelink Advisors Inc.  
Veracity Capital Inc.



Verhaag & Partners Financial Services Inc.  
Verity Investment Counsel Inc.  
Vestcap Investment Management Inc.  
Viking Capital Corp.  
W.D. Latimer Co. Limited  
W.H. Stuart Mutuals Ltd.  
Waterous Securities Inc.  
Watson Investment Counsel Ltd.  
Watt Carmichael Inc.  
Wealth Map Financial Limited  
Wellington West Capital Inc.  
Wellington West Financial Services Alberta Inc.  
WFG Securites of Canada Inc.  
Windcroft Financial Counsel Limited  
Windstar Equities Ltd.  
Wirth Associates Inc.  
Wise Capital Management Inc.  
Wolfcrest Capital Advisors Inc.  
Wolverton Securities Ltd.  
Working Ventures Canadian Fund Inc. (Affiliate of GrowthWorks Capital Ltd.)  
Worldsource Securities Inc.  
Y.I.S. Financial Inc.  
York Hedge Fund Strategies Inc

For more information on the STP initiative, please visit the OSC website at [www.osc.gov.on.ca](http://www.osc.gov.on.ca) and the Canadian Capital Markets Association (CCMA) website at [www.ccma-acmc.ca](http://www.ccma-acmc.ca).

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Email: [patricia.leeson@seccom.ab.ca](mailto:patricia.leeson@seccom.ab.ca)

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Commission des valeurs mobilières du Québec  
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Email: [Nicolas.roy@cvmq.com](mailto:Nicolas.roy@cvmq.com)