



Contact: Samantha Duffield  
Manager, Financial Compliance  
Phone: (416) 943-4662  
Email: [sduffield@mfd.ca](mailto:sduffield@mfd.ca)

## **CUSTODIAL AGREEMENTS**

The following is an alphabetical listing of prescribed Custodial Agreements executed as of July 31, 2017 between the Mutual Fund Dealers Association of Canada (MFDA), as bare trustee on behalf of Members, and mutual fund companies and other financial institutions, in accordance to the Member Regulation Notice MSN-0058, Acceptable Securities Locations. Please ensure that your assets held are included in the types of products listed by the entity.

|    | <b><u>Fund Manager/ Financial Institution</u></b>  | <b><u>Type of Products</u></b>   |
|----|--|--|
| 1  | 1832 Asset Management L.P.<br>Dynamic Mutual Fund  | Mutual Fund / Hedge Fund / Labour<br>Sponsored Fund / Deposit Accounts |
| 2  | Acker Finley Asset Management Inc.   | Mutual Fund  |
| 3  | ACM Advisors Ltd.  | Mortgage Investment Fund   |
| 4  | Acorn Global Investments Inc.  | Hedge Fund   |
| 5  | AGF Investments Inc.<br>- Acuity Pooled Funds<br>- AGF Pooled Funds<br>- AGF family of mutual funds<br>- AGF Elements family of mutual funds<br>- Harmony family of mutual funds | Mutual Fund / Pooled Fund  |
| 6  | AIP Asset Management Inc.  | Mutual Fund / Hedge Fund / Limited<br>Partnership                      |
| 7  | AlphaNorth Asset Management  | Mutual Fund  |
| 8  | Arrow Capital Management Inc.  | Investment Products  |
| 9  | ATB Investment Management Inc.   | Mutual Fund  |
| 10 | Aurion Capital Management Inc.   | Pooled Fund  |
| 11 | Aventine Management Group Inc.   | Mutual Fund  |
| 12 | B2B Bank   | GIC's / High Interest Investment Accounts                              |
| 13 | Bank of Nova Scotia (The)  | GIC's  |
| 14 | Bank of Montreal   | GIC's / High Interest Savings Accounts                                 |
| 15 | Bank of Montreal Mortgage Corporation  | GIC's  |
| 16 | Barometer Capital Management Inc.  | Mutual Fund / Pooled Fund  |
| 17 | BC Advantage Fund Management Limited   | Venture Capital Corporation (VCC) Funds                                |

|    | <b><u>Fund Manager/ Financial Institution</u></b>  | <b><u>Type of Products</u></b>   |
|----|--|--|
| 18 | B.E.S.T. Investment Counsel Limited  | Mutual Fund / Labour Sponsored Fund  |
| 19 | Beutel, Goodman & Company Ltd.   | Mutual Fund  |
| 20 | BlackRock Asset Management Canada Limited  | Mutual Fund  |
| 21 | BluMont Capital Corporation<br>- Exemplar Portfolios Ltd.<br>- BluMont family of funds<br>- Northern Rivers Capital Management family of funds | Mutual Fund / Hedge Fund / Pooled Fund / PPN's / Limited Partnerships / Alternative Investment |
| 22 | BMO Asset Management Inc.  | Pooled Fund  |
| 23 | BMO Investments Inc.<br>- BMO Mutual Funds   | Mutual Fund  |
| 24 | BMO InvestorLine Inc.  | Investment Products  |
| 25 | BMO Life Assurance Company<br>- BMO Guaranteed Investment Funds  | Segregated Fund  |
| 26 | BMO Nesbitt Burns Inc.   | Investment Products / Linked Notes   |
| 27 | BMO Private Investment Counsel Inc.  | Mutual Fund  |
| 28 | BMO Trust Company  | GIC's / High Interest Savings Account  |
| 29 | BNP Paribas (Canada)   | Principal Protected Linked Notes   |
| 30 | Brandes Investment Partners & Co.  | Mutual Fund  |
| 31 | Brandywine Global Investment Management (Canada), ULC  | Mutual Funds / Pooled Fund   |
| 32 | Brickburn Asset Management Inc.<br>- Dominion Equity Resource Fund Inc.  | Mutual Fund  |
| 33 | Bridgewater Bank   | GIC's  |
| 34 | Bridging Finance Inc.  | Pooled Fund  |
| 35 | British Columbia Discovery Fund (VCC) Inc.   | Venture Capital Fund   |
| 36 | Brompton Funds Limited   | Investment Products  |
| 37 | Bullion Management Services Inc.   | Mutual Fund  |
| 38 | Caisse populaire acadienne Itée (UNI)  | GIC's  |
| 39 | Caisse Populaire d'Alban Limited   | GIC's  |
| 40 | Caldwell Investment Management Ltd.  | Mutual Fund  |
| 41 | Canada Life Assurance Company (The)  | Segregated Fund  |
| 42 | Canadian Imperial Bank of Commerce   | Mutual Fund / GIC's / Principal Protected Notes / Deposit Accounts                             |
| 43 | Canadian Tire Bank   | GICs   |

| <b><u>Fund Manager/ Financial Institution</u></b>   | <b><u>Type of Products</u></b>   |
|---|--|
| 44 Canadian Western Bank  | GIC's  |
| 45 Canadian Western Trust Company   | GIC's  |
| 46 Canoe Financial LP<br>- EnerVest Natural Resource Fund<br>- Canoe family of Funds                        | Mutual Fund  |
| 47 Capital International Asset Management (Canada), Inc.  | Mutual Fund  |
| 48 Central 1 Credit Union   | Term Deposits  |
| 49 Centurion Asset Management Inc.  | REIT   |
| 50 CGS Asset Management Ltd.  | Mutual Fund  |
| 51 Chou Associates Management Inc.  | Mutual Fund  |
| 52 CIBC Asset Management Inc.   | Mutual Fund  |
| 53 CIBC Mortgages Inc.  | GIC's / Deposit Accounts   |
| 54 CIBC Trust Corporation   | GIC's / Deposit Accounts   |
| 55 CI Investments Inc.<br>- United Financial family of funds<br>- Lakeview Asset Management family of funds | Investment Products  |
| 56 Citizens Bank of Canada  | Term Deposits / Demand Accounts  |
| 57 Coast Capital Savings Credit Union   | GIC's  |
| 58 Communication Technologies Credit Union Limited  | GIC's  |
| 59 Community Trust Company  | GIC's  |
| 60 Concentra Financial Services Association   | GIC's  |
| 61 Connor, Clark & Lunn Funds Inc.  | Mutual Fund  |
| 62 Connor, Clark & Lunn Private Capital Ltd.  | Mutual Fund  |
| 63 Counsel Portfolio Services Inc.  | Mutual Fund  |
| 64 Covenant Capital Management Inc.   | Pooled Fund  |
| 65 Covington Capital Corporation  | Labour Sponsored Fund  |
| 66 Crystal Wealth Management System Limited   | Mutual Fund  |
| 67 Davis-Rea Ltd./Davis-Rea Ltee.   | Mutual Fund / Pooled Fund  |
| 68 Desjardins Financial Security Life Assurance Company   | Annuity Contracts / Deferred Annuity Contracts / Individual Variable Insurance Contracts / Insurance Contracts |
| 69 Desjardins Société de Placement Inc.   | Mutual Fund / Desjardins Mutual Funds  |
| 70 Difference Capital Management Inc.   | Hedge Fund   |

| <b><u>Fund Manager/ Financial Institution</u></b>                   | <b><u>Type of Products</u></b>   |
|---|--|
| 71 Dimensional Fund Advisors Canada ULC.                            | Mutual Fund  |
| 72 EdgePoint Wealth Management Inc.                                 | Mutual Fund  |
| 73 Educators Financial Group Inc.                                   | Mutual Fund  |
| 754 Effort Trust Company (The)                                      | GIC's  |
| 75 Empire Life Insurance Company (The)                              | Segregated Fund  |
| - Segregated Funds  |  |
| - Interest investment options provided within an insurance contract |  |
| 76 Empire Life Investments Inc.                                     | Mutual Fund  |
| 77 Épargne Placement Québec   | Savings Products   |
| 78 Epic Capital Management Inc.                                     | Pooled Fund  |
| 79 Equilibrium Capital Management Inc.                              | Mutual Fund  |
| 80 Equitable Bank   | GIC's / High Interest Savings Account  |
| 81 Equity Credit Union Inc.   | GIC's  |
| 82 Equity Financial Trust Company                                   | GIC's  |
| 83 Excel Funds Management Inc.                                      | Mutual Fund  |
| 84 Fédération des caisses Desjardins Du Québec                      | GIC's / Shares   |
| For itself and on behalf of its member caisses                      |  |
| 85 Fédération des caisses PopulairesDe L'Ontario Inc.               | GIC's / Shares   |
| - For itself and on behalf of its member caisses                    |  |
| 86 Fidelity Investments Canada ULC                                  | Mutual Fund  |
| 87 Fiducie Desjardins Inc.  | Mutual Fund / Segregated Fund / GIC's  |
| 88 Fiera Capital Corporation  | Mutual Fund / Hedge Fund / PPN's / Structured Products / Pooled Fund / Segregated Fund |
| 89 Finnish Credit Union Limited                                     | GIC's  |
| 90 First Asset Investment Management Inc.                           | Mutual Fund  |
| 91 Fonds Férique  | Mutual Fund  |
| 92 Foresters Financial Investment Management Company of Canada Inc. | Mutual Fund  |
| 93 Franklin Templeton Investments Corp.                             | Mutual Fund / Pooled Fund / Segregated Fund  |
| 94 FrontierAlt Funds Management Limited                             | Mutual Fund  |
| 95 FT Portfolios Canada Co.   | Mutual Fund  |
| 96 Galileo Global Equity Advisors Inc.                              | Mutual Fund  |

| <b><u>Fund Manager/ Financial Institution</u></b>                            | <b><u>Type of Products</u></b>                                     |
|--|--|
| 97 General Bank of Canada  | GIC's  |
| 98 Genus Capital Management Inc.   | Pooled Fund  |
| 99 Global Growth Assets Inc.   | Mutual Fund  |
| 100 Globevest Capital Ltd.   | Mutual Fund  |
| 101 Golden Opportunities Fund Inc.   | Labour Sponsored Investment Fund                                   |
| 102 Goodman & Company, Investment Counsel, Inc.<br>- Goodman Bluespring Fund | Mutual Fund / Limited Partnership /<br>Alternative Investment Fund |
| 103 Goodwood Inc.  | Mutual Fund / Hedge Fund   |
| 104 Gravitass Securities Inc.  | Mutual Fund  |
| 105 Great-West Life Assurance Company (The)                                  | Segregated Fund  |
| 106 GrowthWorks Atlantic Ltd.  | Labour Sponsored Fund  |
| 107 GrowthWorks Capital Limited<br>- Working Opportunity Fund (EVCC) Ltd.    | Labour Sponsored Fund<br>Labour Sponsored Fund                     |
| 108 GrowthWorks WV Management Ltd.   | Labour Sponsored Fund  |
| 109 Guardian Capital LP  | Pooled Funds / Mutual Fund   |
| 110 Hamilton Municipal Employees' Credit Union<br>Limited                    | GIC's  |
| 111 Harvest Portfolios Group Inc.  | Mutual Fund  |
| 112 Hillsdale Investment Management Inc.                                     | Mutual Fund / Hedge Fund   |
| 113 Hollis Canadian Bank   | GIC's / High Interest Savings Account                              |
| 114 Home Bank  | GIC's / High Interest Savings Account                              |
| 115 Home Trust Company   | GIC's / High Interest Savings Account                              |
| 116 Horizons ETFs Management (Canada) Inc.                                   | Mutual Fund / Pooled Fund  |
| 117 HSBC Bank Canada   | GIC's  |
| 118 HSBC Global Asset Management (Canada) Limited                            | Mutual Fund  |
| 119 HSBC Mortgage Corporation (Canada)                                       | GIC's  |
| 120 HSBC Trust Company (Canada)  | GIC's  |
| 121 IA Clarington Investments Inc.   | Mutual Fund / Investment Products                                  |
| 122 I.A. Michael Investment Counsel Ltd.<br>- ABC Funds                      | Mutual Fund  |
| 123 ICICI Bank Canada  | GIC's  |
| 124 I.G. Investment Management, Ltd.   | Mutual Fund  |

| <b><u>Fund Manager/ Financial Institution</u></b>             | <b><u>Type of Products</u></b>   |
|---|--|
| 125 Industrial Alliance Insurance and Financial Services Inc. | Segregated Fund  |
| 126 Industrial Alliance Trust Inc.                            | GIC's  |
| 127 Integra Capital Limited                                   | Mutual Fund  |
| 128 Invesco Canada Ltd.                                       | Mutual Fund / Segregated Fund  |
| 129 Island Savings Credit Union                               | GIC's  |
| 130 Italian Canadian Savings & Credit Union Limited           | GIC's  |
| 131 ivari   | Segregated Fund / SPIA Contracts                                       |
| 132 JC Clark Ltd.   | Pooled Fund  |
| 133 JDM Investment Partners Ltd.                              | Mutual Fund  |
| 134 Kensington Capital Advisors Inc.                          | All Investment Products  |
| 135 Laurentian Bank of Canada                                 | GIC's  |
| 136 Laurentian Trust of Canada Inc.                           | GIC's  |
| 137 LBC Trust   | GIC's  |
| 138 Leith Wheeler Investment Counsel Ltd.                     | Mutual Fund  |
| 139 Lincluden Investment Management Limited                   | Mutual Fund  |
| 140 LOGiQ Asset Management Ltd.                               | Mutual Fund / Hedge Fund / Labour Sponsored Fund / Structured Products |
| 141 LOGiQ Capital 2016  | Mutual Fund / Hedge Fund / Labour Sponsored Fund                       |
| 142 Lysander Funds Limited                                    | Mutual Fund  |
| 143 Mackenzie Financial Corporation<br>- Saxon funds          | Mutual Fund / Segregated Fund  |
| 144 Majestic Asset Management LLC                             | Mutual Fund / Pooled Fund / Hedge Fund                                 |
| 145 Manufacturers Life Insurance Company (The)                | GIC's / Segregated Fund / Term Fund                                    |
| 146 Manulife Asset Management Limited                         | Mutual Fund / Segregated Fund / Pooled Funds                           |
| 147 Manulife Bank of Canada                                   | GIC's / Investment Savings Account                                     |
| 148 Manulife Trust Company                                    | GIC's / Investment Savings Account                                     |
| 149 Marquest Asset Management Inc.                            | Pooled Fund/ Institutional Fund / Mutual Fund / Limited Partnership    |
| - Marquest family of mutual funds and LPs                     |  |

| <b><u>Fund Manager/ Financial Institution</u></b>             | <b><u>Type of Products</u></b>                           |
|---|--|
| - Matrix family of mutual funds and LPs                       |  |
| - EnergyFields LPs  |  |
| - MineralFields LPs   |  |
| - Pathway LPs   |  |
| 150 Mawer Investment Management Ltd.                          | Mutual Fund  |
| 151 MCAN Mortgage Corporation                                 | GIC's  |
| 152 McElvaine Investment Management Ltd.                      | Mutual Fund  |
| 153 McLean Asset Management Ltd.<br>- ROMC Trust              | Mutual Fund  |
| 154 MD Financial Management Inc.                              | Mutual Fund  |
| 155 Merrill Lynch Canada Inc.                                 | Linked Notes   |
| 156 MFS Investment Management Canada Limited                  | Mutual Fund  |
| 157 Middlefield Limited                                       | Mutual Fund  |
| 158 Momentum Credit Union                                     | GIC's  |
| 159 Montreal Trust Company of Canada                          | GIC's  |
| 160 Natcan Trust Company                                      | Mutual Fund / GIC's / PPN's                              |
| 161 National Bank of Canada                                   | GIC's / PPN's  |
| 162 National Bank Investments Inc.<br>- Altamira Mutual Funds | Mutual Fund / GIC's / PPN's / Investment Savings Account |
| 163 National Bank Trust Inc.                                  | Mutual Fund / GIC's / PPN's                              |
| 164 National Trust Company                                    | GIC's  |
| 165 NBCN Inc.   | EFTs   |
| 166 NewGen Asset Management Limited                           | Trust Units / Limited Partnership Units                  |
| 167 Next Edge Capital Corp.                                   | Hedge Fund / Mutual Fund                                 |
| 168 NGAM Canada LP.   | Mutual Fund  |
| 169 Niverville Credit Union Limited                           | GIC's  |
| 170 Norrep Capital Management Ltd.<br>- Norrep Group Of Funds | Mutual Fund / Limited Partnership                        |
| 171 Northwest & Ethical Investment LP                         | Mutual Fund  |
| 172 OceanRock Investments Inc.                                | Mutual Fund  |
| 173 O'Leary Funds Management LP                               | Mutual Fund  |
| 174 ONE Financial Corporation                                 | PPN's / Mutual Fund / Pooled Fund                        |
| 175 Oshawa Community Credit Union Limited                     | GIC's  |

| <b><u>Fund Manager/ Financial Institution</u></b> | <b><u>Type of Products</u></b>                             |
|---|--|
| 176 Peace Hills Trust Company                     | GIC's  |
| 177 Pembroke Private Wealth Management Ltd.       | Mutual Fund  |
| 178 PenderFund Capital Management Ltd.            | Labour Sponsored Fund / Venture Capital Fund / Mutual Fund |
| 179 Peoples Trust Company                         | GIC's  |
| 180 Picton Mahoney Asset Management               | Hedge Fund / Mutual Fund                                   |
| 181 PIMCO Canada Corp.                            | Mutual Fund  |
| 182 Polar Asset Management Partners Inc.          | Hedge Fund   |
| 183 Portland Investment Counsel Inc.              | Investment Funds / Limited Partnerships                    |
| 184 President's Choice Bank                       | GIC's  |
| 185 Primevest Capital Corp.                       | Hedge Fund   |
| 186 Prospera Credit Union                         | GIC's  |
| 187 Purpose Investments Inc.                      | Mutual Fund  |
| 188 Putnam Investments Inc.                       | Mutual Fund  |
| 189 Qwest Investment Fund Management Ltd.         | Mutual Fund  |
| 190 RBC Global Asset Management Inc.              | Mutual Fund / Hedge Fund / PPN's                           |
| 191 RBC Life Insurance Company                    | Segregated Fund  |
| 192 Redwood Asset Management Inc.                 | Hedge Fund / Mutual Fund                                   |
| 193 R.E.G.A.R. Gestion Privée Inc.                | Mutual Fund  |
| 194 ResMor Trust Company                          | GIC's  |
| 195 Resolute Funds Limited                        | Mutual Fund  |
| 196 Return on Innovation Advisors Ltd.            | Mutual Fund / Labour Sponsored Fund / Pooled Funds         |
| 197 RN Croft Financial Group Inc.                 | Mutual Fund / Pooled Fund                                  |
| 198 Royal Bank of Canada                          | GIC's / Investment Savings Account / Structured Notes      |
| 199 Royal Bank Mortgage Corporation               | GIC's / Investment Savings Account                         |
| 200 Royal Trust Company (The)                     | GIC's / Investment Savings Account                         |
| 201 Royal Trust Corporation of Canada             | GIC's / Investment Savings Account                         |
| 202 RP Investment Advisors LP                     | Mutual Fund / Hedge Fund                                   |
| 203 Russell Investments Canada Limited            | Mutual Fund  |
| - LifePoints family of mutual funds               |  |
| - Russell Group family of mutual funds            |  |



| <b><u>Fund Manager/ Financial Institution</u></b> | <b><u>Type of Products</u></b>   |
|---|--|
| - Sovereign family of mutual funds                |  |
| 204 SaskWorks Venture Fund Inc.                   | Labour Sponsored Fund  |
| 205 Scotia Capital Inc.                           | Mutual Fund / Segregated Fund / GIC's /<br>Linked Notes / Debt, Equity and Money<br>Market Instruments |
| 206 Scotia Mortgage Corporation                   | GIC's  |
| 207 SEI Investment Canada Company                 | Mutual Fund  |
| 208 Sentry Investments Inc.                       | Mutual Fund / Structured Notes   |
| 209 Silvercreek Management Inc.                   | Limited Partnership  |
| 210 Smart Investments Ltd.                        | Mutual Fund  |
| 211 Société Générale (Canada)                     | Principal Protected Notes  |
| 212 Spartan Fund Management Inc.                  | Hedge Fund   |
| 213 Sprott Asset Management LP                    | Mutual Fund / Hedge Fund / Limited<br>Partnership  |
| 214 SSQ, Société d'assurances-vie Inc.            | Segregated Fund / GIC's  |
| 215 Steadyhand Investment Management Ltd.         | Mutual Fund  |
| 216 Stone Asset Management Limited                | Mutual Fund  |
| 217 Sun Life Assurance Company Of Canada          | Segregated Fund Contracts  |
| 218 Sun Life Financial Trust Inc.                 | GIC's  |
| 219 Sun Life Global Investments (Canada) Inc.     | Mutual Fund  |
| 220 Tangerine Bank                                | Mutual Fund / GIC's / Savings Accounts   |
| 221 Tangerine Investment Management Inc.          | Tangerine Investment Funds   |
| 222 Taylor Asset Management Inc.                  | Pooled Fund  |
| 223 TD Bank Financial Group                       | Investment Products  |
| The Toronto-Dominion Bank                         |  |
| TD Asset Management Inc.                          |  |
| TD Pacific Mortgage Corporation                   |  |
| TD Mortgage Corporation                           |  |
| The Canada Trust Company                          |  |
| First Nations Bank of Canada                      |  |
| 224 TD Securities Inc.                            | Linked Notes   |
| 225 TD Waterhouse Canada Inc.                     | Investment Products  |
| 226 Terra Fund Management Ltd.                    | Mutual Fund / Limited Partnership  |

| <b><u>Fund Manager/ Financial Institution</u></b>    | <b><u>Type of Products</u></b>        |
|--|---------------------------------------|
| - Terra family of mutual funds and LPs               |                                       |
| 227 Thornmark Asset Management Inc.                  | Pooled Fund                           |
| 228 Timbercreek Asset Management Ltd.                | Mutual Fund / Limited Partnership     |
| 229 Toronto Trust Management Ltd.                    | Mutual Fund / Investment Funds        |
| - Friedberg Mercantile Group family of funds         |                                       |
| 230 Tradex Management Inc.                           | Mutual Fund                           |
| 231 Trez Capital Fund Management Limited Partnership | Investment Products                   |
| 232 Value Partners Investment Inc.                   | Mutual Fund                           |
| 233 Vancouver City Savings Credit Union              | Term Deposits                         |
| 234 Vantage Asset Management Inc.                    | Pooled Fund                           |
| 235 Venator Capital Management Ltd.                  | Hedge Fund                            |
| - Venator Founders Fund                              |                                       |
| - Venator Income Fund                                |                                       |
| - Venator Investment Trust                           |                                       |
| 236 VersaBank  | GIC's                                 |
| 237 Vertex One Asset Management Inc.                 | Mutual Fund / Hedge Fund              |
| 238 VL Advisors Inc.                                 | Labour Sponsored Fund                 |
| 239 Wave Cycle Mutual Funds Ltd.                     | Mutual Fund                           |
| 240 Wealth One Bank of Canada                        | GIC's / Investment Savings Account    |
| 241 Yorkville Asset Management Inc.                  | Mutual Fund                           |
| 242 Zag Bank   | GIC's / High Interest Savings Account |



## CUSTODIAL AGREEMENTS

### Additions to List since December 21, 2007

| <u>Fund Manager/ Financial Institution</u> | <u>Type of Products</u>   | <u>Date Approved</u> |
|--|---|----------------------|
| Acorn Global Investments Inc.              | Hedge Fund  | January 26, 2010     |
| AIP Asset Management Inc.                  | Mutual Fund / Hedge Fund / Limited Partnership                      | February 13, 2017    |
| AlphaNorth Asset Management                | Mutual Fund   | June 21, 2011        |
| Aurion Capital Management Inc.             | Pooled Fund   | April 26, 2010       |
| Bank of Montreal Mortgage Corporation      | GIC's   | April 28, 2008       |
| Barometer Capital Management Inc.          | Pooled Fund   | February 26, 2010    |
| - Barometer Global Tactical Balanced Pool  |   |                      |
| - Barometer High Income Pool               |   |                      |
| - Barometer Long Short Equity Pool         |   |                      |
| - Barometer Equity Pool                    |   |                      |
| B2B Trust                                  | High Interest Investment Accounts                                   | October 15, 2008     |
| BC Advantage Fund Management Inc.          | Venture Capital Corporation (VCC) Funds                             | October 14, 2014     |
| BlackRock Asset Management Canada Limited  | Mutual Funds  | September 27, 2013   |
| Blumont Capital Corporation                | Pooled Fund / PPN's / Limited Partnerships / Alternative Investment | August 19, 2010      |
| BMO Life Assurance Company                 | Segregated Fund   | September 4, 2015    |
| BNP Paribas (Canada)                       | Principal Protected Linked Notes                                    | August 9, 2010       |
| Bridging Finance Inc.                      | Pooled Fund   | February 12, 2014    |
| Brompton Funds Limited                     | Investment Products   | June 10, 2013        |
| Caisse Populaire d'Alban Limited           | GIC's   | May 29, 2008         |
| Canadian Imperial Bank of Commerce         | Principal Protected Notes   | July 16, 2009        |
| Canadian Tire Bank                         | GICs  | November 14, 2012    |
| Canoe Financial LP                         | Mutual Fund   | March 31, 2011       |
| Centurion Apartment REIT Management Inc.   | REIT  | November 21, 2012    |
| CFF Bank                                   | GIC's   | May 2, 2014          |
| CFF Bank                                   | High Interest Savings Account                                       | May 20, 2016         |

| <b><u>Fund Manager/ Financial Institution</u></b>   | <b><u>Type of Products</u></b>                                  | <b><u>Date Approved</u></b> |
|---|---|-----------------------------|
| CGS Asset Management Ltd.   | Mutual Fund   | October 16, 2009            |
| CI Investments Inc.   | Investment Products   | June 2, 2009                |
| Communication Technologies Credit Union Limited   | GIC's   | December 31, 2007           |
| Connor, Clark & Lunn Funds Inc.   | Mutual Fund   | September 18, 2015          |
| Covenant Capital Management Inc.  | Pooled Fund   | October 16, 2012            |
| Covington Capital Corporation   | Labour Sponsored Fund   | February 14, 2012           |
| Credit Union Central of British Columbia  | Term Deposits   | December 31, 2007           |
| Davis-Rea Ltd./Davis-Rea Ltee.  | Mutual Fund / Pooled Fund                                       | May 28, 2014                |
| Delphi Asset Management Inc.  | Hedge Fund  | June 30, 2008               |
| Desjardins Société de Placement Inc.  | Mutual Fund / Desjardins Mutual Fund                            | November 30, 2012           |
| EdgePoint Wealth Management Inc.  | Mutual Fund   | October 29, 2008            |
| Empire Life Investments Inc.  | Mutual Fund   | February 8, 2012            |
| Equity Financial Trust Company  | GIC's   | November 2, 2010            |
| Equitable Bank  | High Interest Savings Account                                   | October 8, 2014             |
| Fédération des caisses Populaires De L'Ontario Inc.<br>- For itself and on behalf of its member caisses | GIC's / Shares  | April 30, 2008              |
| Fiera Capital Inc.  | Mutual Fund   | May 27, 2008                |
| First Asset Investment Management Inc.<br>- Criterion Investments Family of Funds                       | Mutual Fund   | December 4, 2009            |
| Friedberg Mercantile Group Ltd.   | Mutual Fund   | December 31, 2007           |
| General Bank of Canada  | GIC's   | April 29, 2008              |
| Genus Capital Management Inc.   | Pooled Fund   | June 27, 2016               |
| Global Growth Assets Inc.   | Mutual Fund   | June 6, 2013                |
| Globevest Capital Ltd.  | Mutual Fund   | January 8, 2015             |
| Goodman & Company, Investment Counsel, Inc.<br>- Goodman Bluespring Fund                                | Mutual Fund / Limited Partnership / Alternative Investment Fund | June 8, 2015                |
| Guardian Capital LP   | Pooled Fund   | October 15, 2008            |
| Guardian Capital LP   | Mutual Fund   | October 31, 2011            |
| Harvest Portfolios Group Inc.   | Mutual Fund   | July 21, 2011               |
| Hesperian Capital Management Ltd.<br>- Norrep Group Of Funds  | Mutual Fund / Limited Partnership                               | November 13, 2013           |
| HSBC Global Asset Management (Canada) Limited   | Mutual Fund   | March 24, 2014              |

| <b><u>Fund Manager/ Financial Institution</u></b>                | <b><u>Type of Products</u></b>                  | <b><u>Date Approved</u></b> |
|--|---|-----------------------------|
| IA Clarington Investments Inc.                                   | Investment Products                             | August 31, 2010             |
| Industrial Alliance Trust Inc.                                   | GIC's   | October 31, 2011            |
| ING Direct Asset Management Limited                              | ING Direct Streetwise Fund                      | February 28, 2008           |
| Island Savings Credit Union                                      | GIC's   | December 31, 2007           |
| Italian Canadian Savings & Credit Union Limited                  | GIC's   | December 31, 2007           |
| JC Clark Ltd.  | Pooled Fund                                     | December 15, 2010           |
| JDM Investment Partners Ltd.                                     | Mutual Fund                                     | February 16, 2010           |
| JovFinancial Solutions Inc.                                      | Mutual Fund                                     | October 21, 2013            |
| Kensington Capital Advisors Inc.                                 | Private Equity Fund / Hedge Fund                | May 19, 2015                |
| Lincluden Investment Management Limited                          | Mutual Fund                                     | September 4, 2013           |
| Lionridge Capital Management Inc.                                | Mutual Fund / Pooled Fund                       | February 26, 2010           |
| Lysander Funds Limited   | Mutual Fund                                     | March 28, 2013              |
| Majestic Asset Management LLC                                    | Mutual Fund / Pooled Fund / Hedge Fund          | October 24, 2016            |
| Manulife Trust Company   | GIC's / Investment Savings Account              | June 11, 2010               |
| Marquest Asset Management Inc.                                   | Pooled Fund/ Segregated Fund/ Institutional Fun | March 27, 2008              |
| Matrix Funds Management (A Division of GrowthWorks Capital Ltd.) | Mutual Fund                                     | November 29, 2010           |
| McLean Asset Management Ltd.                                     | Mutual Fund                                     | June 16, 2016               |
| NBCN Inc.  | ETFs  | January 12, 2017            |
| NewGen Asset Management Limited                                  | Trust Units / Limited Partnership Units         | January 11, 2016            |
| Niverville Credit Union Limited                                  | GIC's   | March 21, 2016              |
| Northwest & Ethical Investments LP                               | Mutual Fund                                     | November 14, 2013           |
| O'Leary Funds Management LP                                      | Mutual Fund                                     | December 12, 2011           |
| Oshawa Community Credit Union Limited                            | GIC's   | December 31, 2007           |
| OTG Financial Inc.   | Mutual Fund                                     | December 31, 2007           |
| Picton Mahoney Asset Management                                  | Mutual Fund                                     | October 31, 2015            |
| PIMCO Canada Corp.   | Mutual Fund                                     | December 29, 2010           |
| Polar Securities Inc.  | Hedge Fund                                      | November 13, 2009           |
| Portfolio Strategies Securities Inc.                             | Mutual Fund                                     | September 27, 2013          |
| Portland Investment Counsel Inc.                                 | Investment Funds / Limited Partnerships         | April 14, 2011              |
| President's Choice Bank  | GIC's   | May 30, 2013                |

| <b><u>Fund Manager/ Financial Institution</u></b> | <b><u>Type of Products</u></b>               | <b><u>Date Approved</u></b> |
|---|--|-----------------------------|
| Primevest Capital Corp.                           | Hedge Fund                                   | April 14, 2008              |
| Purpose Investments Inc.                          | Mutual Fund                                  | December 9, 2013            |
| Qwest Investment Fund Management Ltd.             | Mutual Fund                                  | July 8, 2013                |
| RBC Life Insurance Company                        | Segregated Fund                              | October 28, 2008            |
| R.E.G.A.R. Gestion Privée Inc.                    | Mutual Fund                                  | June 12, 2014               |
| RN Croft Financial Group Inc.                     | Mutual Fund / Pooled Fund                    | February 26, 2009           |
| Royal Bank of Canada                              | Investment Savings Account                   | May 28, 2010                |
| Royal Bank Mortgage Corporation                   | GIC's / Investment Savings Account           | July 31, 2012               |
| Royal Trust Company (The)                         | GIC's / Investment Savings Account           | July 31, 2012               |
| Royal Trust Corporation of Canada                 | GIC's / Investment Savings Account           | July 31, 2012               |
| RP Investment Advisors                            | Mutual Fund / Hedge Fund                     | October 17, 2016            |
| SCM Limited Partnership                           | Hedge Fund                                   | December 5, 2008            |
| Scotia Asset Management L.P.                      | Mutual Fund                                  | November 30, 2009           |
| Seamark Asset Management Ltd.                     | Labour Sponsored Fund / Mutual Fund          | July 4, 2013                |
| Sentry Select Capital Inc.                        | Mutual Fund / Structured Notes               | November 30, 2009           |
| Sentry Select Investments Inc.                    | Hedge Fund                                   | July 22, 2009               |
| Silvercreek Management Inc.                       | Limited Partnership                          | November 4, 2011            |
| Smart Investments Ltd.                            | Mutual Fund                                  | April 14, 2016              |
| Société Générale (Canada)                         | Principal Protected Notes                    | March 27, 2008              |
| Spartan Fund Management Inc.                      | Hedge Fund                                   | February 19, 2010           |
| Sprott Asset Management LP                        | Mutual Fund/ Hedge Fund/ Limited Partnership | March 7, 2012               |
| SSQ, Société d'assurances-vie Inc.                | Segregated Fund/ GIC's                       | June 30, 2008               |
| Standard Life Assurance Company of Canada (The)   | Term Fund                                    | July 27, 2010               |
| Standard Life Mutual Funds Ltd.                   | Pooled Fund                                  | October 23, 2013            |
| Stone Asset Management Limited                    | Mutual Fund                                  | July 8, 2013                |
| Sun Life Assurance Company of Canada              | Segregated Fund Contracts                    | July 23, 2015               |
| Sun Life Financial Trust Inc.                     | GIC's  | February 19, 2013           |
| Sun Life Global Investments (Canada) Inc.         | Mutual Fund                                  | November 30, 2010           |
| Taylor Asset Management Inc.                      | Pooled Fund                                  | May 9, 2014                 |

| <b><u>Fund Manager/ Financial Institution</u></b>             | <b><u>Type of Products</u></b>        | <b><u>Date Approved</u></b> |
|---|---------------------------------------|-----------------------------|
| TD Securities Inc.  | Linked Notes                          | January 25, 2008            |
| TD Waterhouse Canada Inc.                                     | Investment Products                   | January 31, 2008            |
| Thornmark Asset Management Inc.                               | Pooled Fund                           | December 14, 2009           |
| Timbercreek Asset Management Ltd.                             | Mutual Fund / Limited Partnership     | September 30, 2015          |
| Toronto Trust Management Ltd.                                 | Mutual Fund / Investment Funds        | November 13, 2013           |
| Transamerica Life Canada                                      | SPIA Contracts                        | February 5, 2008            |
| Trez Capital Fund Management Limited Partnership              | Investment Products                   | March 28, 2013              |
| Twin Oak Credit Union Ltd.                                    | GIC's                                 | December 31, 2007           |
| Vantage Asset Management Inc.                                 | Pooled Fund                           | November 12, 2014           |
| Venator Capital Management Ltd.<br>- Sterling family of funds | Hedge Fund                            | March 19, 2009              |
| VL Advisors Inc.  | Labour Sponsored Fund                 | March 10, 2011              |
| Wave Cycle Mutual Funds Ltd.                                  | Mutual Fund                           | March 27, 2008              |
| Wealth One Bank of Canada                                     | GIC's / Investment Savings Account    | September 30, 2016          |
| Webb Asset Management Canada, Inc.                            | Mutual Fund                           | March 17, 2011              |
| Wellington West Asset Management Inc.                         | Mutual Fund                           | July 28, 2009               |
| Yorkville Asset Management Inc.                               | Mutual Fund                           | October 5, 2011             |
| Zag Bank  | GIC's / High Interest Savings Account | March 2, 2016               |



**CUSTODIAL AGREEMENTS**

Deletions from List since December 21, 2007

| <u>Fund Manager/ Financial Institution</u> | <u>Type of Products</u>        | <u>Date Removed</u> | <u>Reason of Removal</u>   |
|--|--------------------------------|---------------------|--|
| AIC Limited                                | Mutual Funds / Segregated Fund | September 25, 2009  | AIC Limited has assigned the agreement to Elliott & Page Limited.                          |
| Inhance Investment Management Inc.         | Mutual Fund                    | December 18, 2009   | Change in Fund Manager to IA Clarington Investments Inc.                                   |
| Scotia Securities Inc.                     | Mutual Fund                    | November 30, 2009   | Change in Fund Manager to Scotia Asset Management L.P.                                     |
| Sentry Select Capital Corp.                | Mutual Fund / Structured Notes | November 30, 2009   | Change in Fund Manager to Sentry Select Capital Inc.                                       |
| Mavrix Fund Management Inc.                | Mutual Fund                    | November 29, 2010   | Change in Fund Manager to Matrix Funds Management (A Division of GrowthWorks Capital Ltd.) |
| Thales Active Asset Allocation Fund        | Pooled Fund                    | February 28, 2011   | The Thales Active Asset Allocation Fund is no longer active as of December 31, 2010.       |
| VentureLink LP                             | Labour Sponsored Fund          | March 10, 2011      | Change in Fund Manager to VL Advisors Inc.   |
| Middlefield Fund Management Limited        | Mutual Fund                    | March 11, 2011      | Middlefield Fund Management Limited assigned the agreement to Middlefield Limited.         |
| TDK Fund Management Inc.                   | Mutual Fund                    | March 11, 2011      | Change in Fund Manager to First Asset Investment Management Inc.                           |



| <b><u>Fund Manager/ Financial Institution</u></b>      | <b><u>Type of Products</u></b>                 | <b><u>Date Removed</u></b> | <b><u>Reason of Removal</u></b>   |
|--|--|----------------------------|---|
| Halcyon Fund Management Inc.                           | Mutual Fund                                    | March 11, 2011             | Change in Fund Manager to BluMont Capital Corporation.                            |
| Algonquin Power Venture Fund Inc.                      | Labour Sponsored Fund                          | March 11, 2011             | Algonquin Power Venture Fund Inc. is no longer in existence.                      |
| Kyoto Planet Asset Management Inc.                     | Mutual Fund                                    | March 11, 2011             | Kyoto Planet Asset Management Inc. is no longer in existence.                     |
| Les Fonds d'Investissements Spécialisés du Québec Inc. | Mutual fund                                    | March 11, 2011             | Les Fonds d'Investissements Spécialisés du Québec Inc. is no longer in existence. |
| Les Fonds Diamant Inc.                                 | Mutual Fund                                    | March 11, 2011             | Les Fonds Diamant Inc. is no longer in existence.                                 |
| EnerVest Funds Management Inc.                         | Mutual Fund                                    | March 31, 2011             | Change in Fund Manager to Canoe Financial LP.                                     |
| Connor, Clark and Lunn Managed Portfolio Inc.          | Mutual Fund                                    | October 1, 2011            | Change in Fund Manager to Connor, Clark & Lunn Private Capital Ltd.               |
| Sarbit Asset Management Inc.                           | Mutual Fund                                    | November 30, 2011          | No longer active and not registered.  |
| Tricycle Asset Management Capital Corp.                | Linked Notes                                   | November 30, 2011          | No longer registered.   |
| Sprott Asset Management Inc.                           | Mutual Fund / Hedge Fund / Limited Partnership | March 7, 2012              | Change in Fund Manager to Sprott Asset Management LP.                             |
| Fédération des caisses Desjardins Du Québec            | Mutual Fund / Desjardins Mutual Funds          | November 30, 2012          | Change in Fund Manager to Desjardins Société de Placement Inc.                    |
| BC Advantage Funds (VCC) Ltd.                          | Venture Capital Corporation (VCC) Funds        | November 30, 2012          | No longer registered.   |
| SFCS Capital (Canada) Corp.                            | Hedge Fund                                     | March 31, 2013             | No longer registered.   |

| <b><u>Fund Manager/ Financial Institution</u></b> | <b><u>Type of Products</u></b>                              | <b><u>Date Removed</u></b> | <b><u>Reason of Removal</u></b>                              |
|---|---|----------------------------|--|
| Creststreet Mutual Funds Limited                  | Mutual Fund / Limited Partnership                           | June 10, 2013              | Change in Fund Manager to Brompton Funds Limited.            |
| Stone & Co. Limited                               | Mutual Fund   | July 8, 2013               | Not registered. See Stone Asset Management Limited.          |
| Qwest Investment Management Corp.                 | Mutual Fund   | July 8, 2013               | Not registered. See Qwest Investment Fund Management Ltd.    |
| Lincluden Management Limited                      | Mutual Fund   | September 4, 2013          | Not registered. See Lincluden Investment Management Limited. |
| JovFunds Management Inc.                          | Mutual Fund / Alternative Investments / Structured Products | October 21, 2013           | Not registered. See JovFinancial Solutions Inc.              |
| MineralFields Fund Management Inc.                | Mutual Fund / Limited Partnership                           | October 29, 2013           | See Marquest Asset Management Inc.                           |
| Marquest Asset Management Inc.                    | Segregated Fund   | October 29, 2013           | Update product types   |
| Norrep Inc.                                       | Mutual Fund   | November 13, 2013          | Not registered. See Hesperian Capital Management Ltd.        |
| Ethical Funds Inc.                                | Mutual Fund   | November 14, 2013          | No longer active. See Northwest & Ethical Investments LP.    |
| Northwest Mutual Fund Inc.                        | Mutual Fund   | November 14, 2013          | No longer active. See Northwest & Ethical Investments LP.    |
| Friedberg Mercantile Group Ltd.                   | Mutual Fund   | November 14, 2013          | Not registered. See Toronto Trust Management Ltd.            |
| Quadrex Asset Management Inc.                     | Hedge Fund  | January 31, 2014           | No longer active   |
| Hollis Canadian Bank.                             | PPN's / Structured Notes                                    | February 25, 2014          | Products not sold  |
| HSBC Investment Funds (Canada) Inc.               | Mutual Fund   | February 28, 2014          | No longer registered   |

| <u>Fund Manager/ Financial Institution</u>                          | <u>Type of Products</u>   | <u>Date Removed</u> | <u>Reason of Removal</u>  |
|---|---|---------------------|---|
| D.O.C.P. Management Corp  | Mutual Fund / OM Products / Limited Partnership   | March 31, 2014      | Not registered.   |
| Gentree Asset Management Inc.                                       | Hedge Fund  | March 31, 2014      | No longer active  |
| OpenSky Capital Inc.  | Linked Notes / Mutual Fund  | March 31, 2014      | No longer active  |
| Sentry Select Investment Inc.                                       | Hedge Fund  | March 31, 2014      | No longer active  |
| Van Arbor Asset Management Ltd.                                     | Mutual Fund   | March 31, 2014      | No longer active  |
| VenGrowth Asset Management Inc.                                     | Mutual Fund / Labour Sponsored Fund   | March 31, 2014      | Not registered.   |
| Horizons Funds Inc.   | Mutual Fund / OM Products / Limited Partnership   | March 31, 2014      | Not registered.   |
| Natcan Investment Management Inc.                                   | Pooled Fund   | January 31, 2015    | No longer active  |
| Webb Asset Management Canada Inc.                                   | Mutual Fund   | April 30, 2015      | No longer active  |
| Wellington West Asset Management Inc.                               | Mutual Fund   | April 30, 2015      | No longer active  |
| Lionridge Capital Management Inc.                                   | Mutual Fund / Pooled Fund   | April 30, 2015      | Not registered  |
| NBF Emissary Turnkey Solution LP                                    | Mutual Fund   | April 30, 2015      | Not registered  |
| SCM Limited Partnership   | Hedge Fund  | April 30, 2015      | Not registered  |
| Goodman & Company, Investment Counsel Ltd.<br>- Dynamic Mutual Fund | Mutual Fund / Hedge Fund / Labour Sponsored Fund / GIC's / Linked Notes / Deposit Accounts / Limited Partnership / PPN's / Structured Notes | June 30, 2015       | No longer active. See 1832 Asset Management L.P                   |
| Scivest Alternative Strategies Inc.                                 | Hedge Fund  | March 31, 2016      | No longer active. See Redwood Asset Management Inc.               |
| Pro-Financial Asset Management Inc.                                 | Hedge Fund / Linked Notes / Mutual Fund   | March 31, 2016      | No longer active. See Smart Investments Ltd.                      |
| Standard Life Assurance Company of Canada (The)                     | Segregated Fund / Term Fund   | March 31, 2016      | No longer active. See Manufacturers Life Insurance Company (The). |



## CUSTODIAL AGREEMENTS

### Name Changes and Mergers since December 21, 2007

| <u>Fund Manager/ Financial Institution</u> | <u>Type of Products</u>  | <u>Date</u>        | <u>Comments</u>  |
|--|--|--------------------|--|
| AIM Funds Management Inc.                  | Mutual Fund / Segregated Fund  | August 11, 2008    | Name changed to Invesco Trimark Ltd.   |
| Delphi Asset Management Inc.               | Hedge Fund   | July 24, 2009      | Name Changed to SFCS Capital (Canada) Corp. (see Deletions List above)                                     |
| Lawrence Asset Management Inc.             | Mutual Fund / Hedge Fund / Labour Sponsored Fund                                       | January 11, 2011   | Name Changed to Aston Hill Asset Management Inc.   |
| Steadyhand Investment Management Ltd.      | Mutual Fund  | July 31, 2010      | Fund manager for Steadyhand family of funds was previously Steadyhand Investment Funds Limited Partnership |
| Venator Capital Management Ltd.            | Hedge Fund   | January 1, 2010    | Previously was fund manager for Sterling funds which are now Performance Group of Fund                     |
| Northern Rivers Capital Management Inc.    | Mutual Fund  | April 1, 2010      | Northern Rivers Capital Management Inc. merged with Blumont Capital Corporation                            |
| OTG Financial Inc.                         | Mutual Fund  | September 15, 2008 | Name changed to Educators Financial Group Inc.   |
| Altamira Investment Services Inc.          | Mutual Fund  | November 1, 2008   | Altamira Investment Services Inc. merged with National Bank Securities Inc.                                |
| Guardian Group of Funds Limited (The)      | Mutual Fund  | November 1, 2009   | Guardian Group of Funds Limited merged with BMO Investments Inc.   |
| Fiera Capital Inc.                         | Mutual Fund / Hedge Fund / PPN's / Structured Products / Pooled Fund / Segregated Fund | September 1, 2010  | Name changed to Fiera Sceptre Inc.   |
| Sceptre Investment Counsel Limited         | Mutual Fund / Hedge Fund   | September 1, 2010  | Name changed to Fiera Sceptre Inc.   |

| <u>Fund Manager/ Financial Institution</u> | <u>Type of Products</u>          | <u>Date</u>      | <u>Comments</u>   |
|--|----------------------------------|------------------|---|
| United Financial Corporation               | Mutual Fund                      | January 1, 2010  | United Financial Corporation merged with CI Investments Inc.  |
| Lakeview Asset Management Inc.             | Mutual Fund                      | January 1, 2009  | Lakeview Asset Management Inc. merged with CI Investments Inc.  |
| Saxon Funds Management Limited             | Mutual Fund                      | January 26, 2009 | Saxon Funds Management Limited merged with Mackenzie Financial Corporation  |
| Hartford Investments Canada Corp.          | Mutual Fund                      | January 21, 2011 | Name changed to Castlerock Investments Inc.   |
| Elliott & Page Limited                     | Mutual Fund / Segregated Fund    | August 19, 2010  | Name changed to Manulife Asset Management Limited.  |
| GBC Asset Management Inc.                  | Mutual Fund                      | August 15, 2011  | Name changed to Pembroke Private Wealth Management Ltd.   |
| Arrow Hedge Partners Inc.                  | Hedge Fund                       | April 1, 2011    | Name changed to Arrow Capital Management Inc.   |
| Qtrade Fund Management Inc.                | Mutual Fund                      | October 8, 2010  | Name changed to Ocean Rock Investments Inc.   |
| Barlow Capital Management Inc.             | Mutual Fund                      | February 1, 2011 | Name changed to Aventine Management Group Inc.  |
| Counsel Group of Funds Inc.                | Mutual Fund                      | October 2, 2009  | Name changed to Counsel Portfolio Services Inc.   |
| MD Funds Management Inc.                   | Mutual Fund                      | July 31, 2009    | MD Funds Management Inc. amalgamated with MD Private Investment Management Inc. The amalgamated entity is MD Physician Services Inc.                      |
| RBC Asset Management Ltd.                  | Mutual Fund / Hedge Fund / PPN's | November 1, 2010 | RBC Asset Management Inc. amalgamated with Phillips, Hager & North Investments Management Ltd. The amalgamated entity is RBC Global Asset Management Inc. |

| <u>Fund Manager/ Financial Institution</u>  | <u>Type of Products</u>                             | <u>Date</u>        | <u>Comments</u>  |
|---|---|--------------------|--|
| Phillips, Hager & North investment Management Ltd.  | Mutual Fund   | November 1, 2010   | Phillips, Hager & North Investment Management Ltd. amalgamated with RBC Asset Management Inc. The amalgamated entity is RBC Global Asset Management Inc. |
| B2B Trust   | GIC's / High Interest Investment Accounts           | July 7, 2012       | Name changed to B2B Bank.  |
| Return on Innovation Management Ltd.  | Mutual Fund / Labour Sponsored Fund / Pooled Funds  | September 1, 2012  | Return on Innovation Management Ltd. Amalgamated with Return on Innovation Advisors Ltd. The amalgamated entity is Return on Innovation Advisors Ltd.    |
| AGF Funds Inc.  | Mutual Fund   | November 8, 2012   | Name changed to AGF Investments Inc.   |
| Acuity Funds Ltd.   | Mutual Fund   | November 8, 2012   | Acuity Funds Ltd. Amalgamated with AGF Investments Inc. The amalgamated entity is AGF Investments Inc.   |
| Equitable Trust Company (The)   | GIC's   | July 1, 2013       | Name changed to Equitable Bank   |
| GrowthWorks Capital Ltd.<br>– Matrix Funds Management (A Division of GrowthWorks Capital Ltd.). | Labour Sponsored Fund / Mutual Fund                 | July 4, 2013       | Assigned to Seamark Asset Management Ltd.  |
| Seamark Asset Management Ltd  | Labour Sponsored Fund / Mutual Fund                 | August 16, 2013    | Assigned to Marquest Asset Management Inc.   |
| AGF Trust Company   | GIC's   | September 1, 2013  | Amalgamated with B2B Bank  |
| Scotia Asset Management L.P.  | Mutual Fund   | September 30, 2013 | Name changed to 1832 Asset Management L.P.   |
| Dundee Bank of Canada   | GIC's / PPN's / Structured Notes / Savings Accounts | November 1, 2013   | Name changed to Hollis Canadian Bank.  |

| <b><u>Fund Manager/ Financial Institution</u></b> | <b><u>Type of Products</u></b>         | <b><u>Date</u></b> | <b><u>Comments</u></b>   |
|---|--|--------------------|--|
| Dundee Securities Corporation                     | Structured Notes                       | January 28, 2011   | Name changed to DWM Securities Inc.  |
| DWM Securities Inc.                               | Structured Notes                       | November 1, 2013   | DWM Securities Inc. amalgamated with Scotia Capital Inc. The amalgamated entity is Scotia Capital Inc.                                     |
| Abria Alternative Investments Inc                 | Hedge Fund                             | April 24, 2012     | Name changed to Difference Capital Management Inc.   |
| BetaPro Management Inc.                           | Mutual Fund / Pooled Fund              | October 14, 2011   | Name changed to Horizons ETFs Management (Canada) Inc.   |
| Beutel Goodman Managed Funds Inc.                 | Mutual Fund                            | January 1, 2013    | Beutel Goodman Managed Funds Inc. amalgamated with Beutel, Goodman & Company Ltd. The amalgamated entity is Beutel, Goodman & Company Ltd. |
| Sentry Select Capital Inc.                        | Mutual Fund / Structured Notes         | May 27, 2011       | Name changed to Sentry Investments Inc.  |
| M.R.S Trust Company                               | GIC's                                  | April 16, 2012     | M.R.S Trust Company merged with B2B Trust. B2B Trust changed name to B2B Bank.   |
| ING Bank of Canada                                | Mutual Fund / GIC's / Savings Accounts | April 8, 2014      | Name changed to Tangerine Bank   |
| ING Direct Asset Management Limited               | ING Direct Streetwise Fund             | April 8, 2014      | Name changed to Tangerine Investment Management Inc.   |
| Jones Heward Investment Counsel Inc.              | Pooled Fund                            | May 7, 2010        | Name changed to BMO Asset Management Inc.  |
| Brigata Capital Management Inc.                   | Mutual Fund                            | December 3, 2013   | Brigata Capital Management Inc. amalgamated with Counsel Portfolio Services Inc. The amalgamated entity is Counsel Portfolio Services Inc. |

| <b><u>Fund Manager/ Financial Institution</u></b> | <b><u>Type of Products</u></b>   | <b><u>Date</u></b> | <b><u>Comments</u></b>   |
|---|--|--------------------|--|
| National Bank Securities Inc.                     | Mutual Fund / GIC's / PPN's / Investment Savings Account                               | May 12, 2014       | Name changed to National Bank Investments Inc.   |
| Fiera Sceptre Inc.                                | Mutual Fund / Hedge Fund / PPN's / Structured Products / Pooled Fund / Segregated Fund | April 17, 2012     | Name changed to Fiera Capital Corporation.   |
| Invesco Trimark Ltd.                              | Mutual Fund / Segregated Fund  | July 29, 2011      | Name changed to Invesco Canada Ltd.  |
| Legg Mason Canada Inc.                            | Mutual Fund / Pooled Fund  | March 31, 2014     | Name changed to Brandywine Global Investment Management (Canada), ULC.   |
| Centurion Apartment REIT Management Inc.          | REIT   | August 8, 2013     | Name changed to Centurion Asset Management Inc.  |
| Castlerock Investments Inc.                       | Mutual Fund  | June 30, 2011      | Castlerock Investment Inc. amalgamated with CI Investments Inc. The amalgamated entity is CI Investments Inc.  |
| Credit Union Central of British Columbia          | Term Deposits  | July 1, 2008       | Credit Union Central of British Columbia amalgamated with Credit Union Central of Ontario Limited. The amalgamated entity is Central 1 Credit Union. |
| Dimensional Fund Advisors Canada Inc.             | Mutual Fund  | February 13, 2009  | Name changed to Dimensional Fund Advisors Canada ULC.  |
| Fidelity Investments Canada Limited               | Mutual Fund  | September 26, 2007 | Name changed to Fidelity Investments Canada ULC.   |
| First Defined Portfolio Management Co.            | Mutual Fund  | May 3, 2012        | Name changed to FT Portfolios Canada Co.   |
| NexGen Financial Limited Partnership              | Mutual Fund  | August 18, 2015    | Name changed to NGAM Canada LP.  |
| MD Physician Services Inc.                        | Mutual Fund  | December 15, 2014  | Name changed to MD Financial Management Inc.   |



| <u>Fund Manager/ Financial Institution</u>         | <u>Type of Products</u>           | <u>Date</u>       | <u>Comments</u>   |
|--|-----------------------------------|-------------------|---|
| Galileo Funds Inc.                                 | Mutual Fund                       | July 31, 2012     | Galileo Funds Inc. amalgamated with Galileo Global Equity Advisor Inc. The amalgamated entity is Galileo Global Equity Advisors Inc.  |
| Industrial-Alliance Pacific Life Insurance Company | Segregated Fund                   | June 30, 2012     | Industrial-Alliance Pacific Life Insurance Company amalgamated with Industrial Alliance Insurance and Financial Services Inc. The amalgamated entity is Industrial Alliance Insurance and Financial Services Inc. |
| Maple Trust Company                                | GIC'S                             | January 1, 2012   | Maple Trust Company amalgamated with Scotia Mortgage Corporation. The amalgamated entity is Scotia Mortgage Corporation.  |
| McLean Budden Limited                              | Mutual Fund                       | November 11, 2013 | Name changed to MFS Investment Management Canada Limited.   |
| Meritas Financial Inc.                             | Mutual Fund                       | October 8, 2010   | Meritas Financial Inc. amalgamated with OceanRock Capital Partners Inc. The amalgamated entity is OceanRock Investment Inc.   |
| Transamerica Life Canada                           | Segregated Fund / SPIA Contracts  | October 26, 2015  | Name changed to ivari.  |
| Hesperian Capital Management Ltd.                  | Mutual Fund / Limited Partnership | December 1, 2014  | Name changed to Norrep Capital Management Ltd.  |
| Bank West  | GIC's                             | March 2, 2016     | Name changed to Zag Bank.   |
| Titan Funds Incorporated                           | Mutual Fund                       | January 1, 2011   | Titan Funds Incorporated amalgamated with Counsel Portfolio Services Inc. The amalgamated entity is Counsel Portfolio Services Inc.   |

| <u>Fund Manager/ Financial Institution</u>           | <u>Type of Products</u>               | <u>Date</u>       | <u>Comments</u>  |
|--|---------------------------------------|-------------------|--|
| Twin Oak Credit Union Ltd.                           | GIC's                                 | December 1, 2010  | Twin Oak Credit Union Ltd. amalgamated with Hamilton Credit Union. The amalgamated entity is Momentum Credit Union.  |
| Standard Life Mutual Funds Ltd.                      | Mutual Fund / Pooled Fund             | July 1, 2015      | Standard Life Mutual Funds Ltd. amalgamated with Manulife Asset Management Limited. The amalgamated entity is Manulife Asset Management Limited.   |
| JovFinancial Solutions Inc.                          | Mutual Fund                           | March 1, 2015     | JovFinancial Solutions Inc. amalgamated with IA Clarington Investments Inc. The amalgamated entity is IA Clarington Investments Inc.   |
| Aegon Fund Management Inc.                           | Mutual Fund                           | May 4, 2016       | Name changed to Foresters Financial Investment Management Company of Canada Inc.   |
| Man Investments Canada Corp.                         | Hedge Fund / Mutual Fund              | June 5, 2014      | Name changed to Next Edge Capital Corp.  |
| Pacific & Western Bank of Canada                     | GIC's                                 | May 13, 2016      | Name changed to VersaBank.   |
| La Fédération des Caisses Populaires Acadiennes Ltée | GICs                                  | July 1, 2016      | La Fédération des Caisses Populaires Acadiennes Ltée amalgamated with l'Office de Stabilisation de la Federation des Caisse Populaires Acadiennes Limitee and 15 caisse populaires. The amalgamated entity is Caisse populaire acadienne Itée (UNI). |
| CFF Bank   | GIC's / High Interest Savings Account | August 22, 2016   | Name changed to Home Bank.   |
| Portfolio Strategies Securities Inc.                 | Mutual Fund                           | April 12, 2016    | Name changed to Gravitas Securities Inc.   |
| Polar Securities Inc.                                | Hedge Fund                            | November 10, 2015 | Name changed to Polar Asset Management Partners Inc.   |

| <u>Fund Manager/ Financial Institution</u> | <u>Type of Products</u>  | <u>Date</u>       | <u>Comments</u>                                     |
|--|--|-------------------|---|
| BMO Harris Investment Management Inc.      | Mutual Fund  | February 2, 2015  | Name changed to BMO Private Investment Counsel Inc. |
| RP Investment Advisors.                    | Mutual Fund / Hedge Fund   | December 29, 2016 | Name changed to RP Investment Advisors LP           |
| Aston Hill Asset Management Inc.           | Mutual Fund / Hedge Fund / Labour Sponsored Fund / Structured Products | December 1, 2016  | Name changed to LOGiQ Asset Management Ltd.         |
| Front Street Capital 2004                  | Mutual Fund / Hedge Fund / Labour Sponsored Fund                       | December 19, 2016 | Name changed to LOGiQ Capital 2016                  |