

**Sanction Payment Status Report
as of September 30, 2019**

Respondent	Penalties	Payment Status
Adams, Timothy	7,790.00	Unpaid
Advantage Financial Group Inc.	7,500.00	Unpaid
Allen, John Alexander	1,057,000.00	Partially Paid
Atlantic Industrial Minerals Incorporated	500.00	Paid
Baie Chedabucto Bay Investment Fund Limited	500.00	Paid
Beaton, Larry Enos	25,000.00	Paid
Berry, Wayne J. and EnCharge Inc., et al	43,500.00	Unpaid
Bevis, Christopher John	6,000.00	Paid
Black, Emeric Neil	3,000.00	Paid
Bowser, Paul Brian	5,000.00	Paid
Brown, Steven Jay	8,500.00	Paid
Byrne, Vincent	7,500.00	Paid
Campbell, John George	12,500.00	Paid
Canaccord Capital Corporation	53,800.00	Paid
Canaccord Capital Corporation	26,000.00	Paid
Chan, Hermes	7,560.00	Paid
Clarke Inc. and Geosam Investments Limited	430,000.00	Paid
Clarke, Bruce Elliott	150,000.00	Partially Paid
Clarke, Steven Elliott	35,000.00	Paid
Colpitts, R. Blois	50,000.00	Paid
Courtney, Raymond G.	15,000.00	Paid
Credential Asset Management Inc.	15,000.00	Paid
C.S.T. Consultants Inc.	32,000.00	Paid
Desjardins Financial Security Investments Inc.	55,000.00	Paid
Dunbar, Glenn	356,500.00	Unpaid
Duncan, Gregory Matthew	11,000.00	Paid
During, L. John	3,500.00	Paid
EBI Electronic Benefits Inc.	17,500.00	Unpaid
Elsie, Randall	3,500.00	Paid
Evangeline Wind Field	3,000.00	Paid
Fillmore, Bruce	8,500.00	Paid
Fillmore, Byron	8,500.00	Partially Paid
Fleming, William	3,000.00	Paid
Germeil, Jean-Smaille and FPE Trading	165,000.00	Unpaid
Getta, Alexander	2,500.00	Paid
Global Maxfin Investments Inc.	10,750.00	Paid
GlobeInvest Capital Management Inc.	2,500.00	Paid
Glooscap Wind Field Inc.	3,250.00	Paid
Harrigan, Michael Andrew	8,500.00	Partially Paid
Helical Corporation Inc., The	62,400.00	Unpaid
Helical Corporation Inc., The	500.00	Paid
Hibbert, Lyndon Horace	21,000.00	Partially Paid
Hicks, Eric Cecil	125,000.00	Paid
Hill, Trevor Wayne	518,000.00	Unpaid
Homburg Invest Inc.	86,400.00	Partially Paid
Investors Group Financial Services	27,500.00	Paid

Investors Group Financial Services Inc.	42,500.00	Paid
IPC Investment Corporation	43,000.00	Paid
IPC Securities Corporation	12,500.00	Paid
Johnson, Douglas Allen	6,000.00	Paid
Johnson, J. Arnold	5,000.00	Paid
Keogan, Russel Dan	5,000.00	Paid
Keybase Financial Group Inc.	110,000.00	Paid
Langille, Jeremiah David	77,500.00	Unpaid
Leonard, Andrew and A.J.R. Leonard Consulting, et al	65,000.00	Unpaid
Lynch, Michael Dennis	3,500.00	Paid
MacDermott, Ralph and A.C.T. Associated Capital Traders	26,000.00	Partially Paid
Marino, Mario	15,000.00	Paid
McLaughlin-Weir, Carol	12,650.00	Paid
Medmira Inc.	125,940.00	Paid
National Bank Financial Limited	125,000.00	Paid
Norman, Terrance	5,000.00	Paid
NPFB Europe SRL (aka SC NPFB Europe SRL), World of Tickets INC. (aka Wide World of Tickets, INC.), and Vincenzo Pettinicchio (aka Vincent Pettinicchio and Vince Pettinicchio)	35,000.00	Unpaid
Northeastern Community Investment Incorporated	3,000.00	Paid
Northumberland Wind Field Inc.	5,000.00	Paid
Olympian Financial Inc.	11,200.00	Paid
optionsXpress, Inc.	3,749.00	Paid
Oxford Investment Holdings Inc.	12,730.00	Paid
PharmaChoice East Ltd. Amalgamated as PharmaChoice Canada Inc.	19,500.00	Paid
Publicover, Taura Irene	31,000.00	Partially Paid
Quadrus Investment Services Ltd.	41,000.00	Paid
Quadrus Investment Services Ltd.	41,000.00	Paid
Rawding, John C.	3,250.00	Paid
Rethy, Steven Jules	22,500.00	Paid
Return on Innovation Advisors Ltd., et al	11,500.00	Paid
River John Oceanfront Resorts Ltd.	3,000.00	Paid
Robinson, Christopher	6,500.00	Paid
Royal Roads Corp.	21,500.00	Paid
Rust, Grant Stuart	11,000.00	Paid
Scallop Shell Pollution Solution	5,750.00	Partially Paid
Schrifer, Bruce Patrick (Order No. 1; Order No. 2)	18,500.00	Partially Paid
Scotia Securities Inc.	31,000.00	Paid
Scotian Wind Inc. and Terrance Norman	8,000.00	Paid
Select Money Strategies Incorporated	13,000.00	Paid
Smith, Dr. James A.	3,000.00	Paid
Sponagle, Quintin Earl	527,000.00	Unpaid
Stone, Mark	25,000.00	Unpaid
Stone, Teddy	25,000.00	Unpaid
Stratus Offshore/Stratus Financial Group International	50,000.00	Unpaid
Stratus Offshore/Stratus Financial Group International, et al	3,000.00	Unpaid
Stuckless, Everett R.	7,500.00	Unpaid
TD Waterhouse Canada Inc.	11,000.00	Paid

<u>Torgerson, Magnus</u>	40,000.00	Unpaid
<u>TradeStation Securities Inc.</u>	10,000.00	Paid
<u>Trusthouse Mercantile Inc. and Raymond, Robert Ernest</u>	112,000.00	Partially Paid
<u>Ucore Rare Metals Inc.</u>	2,500.00	Paid
<u>Union Securities Inc.</u>	27,000.00	Paid
<u>Unique CEDC Ltd.</u>	3,250.00	Paid
<u>Vestcap Investment Management Inc.</u>	31,500.00	Paid
<u>Weir, Lowell</u>	31,160.00	Paid
<u>Westbrook, John</u>	25,000.00	Unpaid