

**Sanction Payment Status Report  
as of June 30, 2025**

| <b>Respondent</b>                                                          | <b>Penalties</b> | <b>Payment Status</b> |
|----------------------------------------------------------------------------|------------------|-----------------------|
| <a href="#">Adams, Timothy</a>                                             | 7,790.00         | Unpaid                |
| <a href="#">Advantage Financial Group Inc.</a>                             | 7,500.00         | Unpaid                |
| <a href="#">Allen, John Alexander</a>                                      | 1,057,000.00     | Partially Paid        |
| <a href="#">Atlantic Industrial Minerals Incorporated</a>                  | 500.00           | Paid                  |
| <a href="#">Baie Chedabucto Bay Investment Fund Limited</a>                | 500.00           | Paid                  |
| <a href="#">Beaton, Larry Enos</a>                                         | 25,000.00        | Paid                  |
| <a href="#">Berry, Wayne J. and EnCharge Inc., et al</a>                   | 43,500.00        | Unpaid                |
| <a href="#">Bevis, Christopher John</a>                                    | 6,000.00         | Paid                  |
| <a href="#">Black, Emeric Neil</a>                                         | 3,000.00         | Paid                  |
| <a href="#">Bowser, Paul Brian</a>                                         | 5,000.00         | Paid                  |
| <a href="#">Brown, Steven Jay</a>                                          | 8,500.00         | Paid                  |
| <a href="#">Byrne, Vincent</a>                                             | 7,500.00         | Paid                  |
| <a href="#">Campbell, John George</a>                                      | 12,500.00        | Paid                  |
| <a href="#">Canaccord Capital Corporation</a>                              | 53,800.00        | Paid                  |
| <a href="#">Canaccord Capital Corporation</a>                              | 26,000.00        | Paid                  |
| <a href="#">Chan, Hermes</a>                                               | 7,560.00         | Paid                  |
| <a href="#">Clarke Inc. and Geosam Investments Limited</a>                 | 430,000.00       | Paid                  |
| <a href="#">Clarke, Bruce Elliott</a>                                      | 150,000.00       | Partially Paid        |
| <a href="#">Clarke, Steven Elliott</a>                                     | 35,000.00        | Paid                  |
| <a href="#">Colpitts, R. Blois</a>                                         | 50,000.00        | Paid                  |
| <a href="#">Courtney, Raymond G.</a>                                       | 15,000.00        | Paid                  |
| <a href="#">Credential Asset Management Inc.</a>                           | 15,000.00        | Paid                  |
| <a href="#">C.S.T. Consultants Inc.</a>                                    | 32,000.00        | Paid                  |
| <a href="#">De Thomas Wealth Management Corp.</a>                          | 37,000.00        | Partially Paid        |
| <a href="#">Desjardins Financial Security Investments Inc.</a>             | 55,000.00        | Paid                  |
| <a href="#">Dunbar, Glenn</a>                                              | 356,500.00       | Unpaid                |
| <a href="#">Duncan, Gregory Matthew</a>                                    | 11,000.00        | Paid                  |
| <a href="#">During, L. John</a>                                            | 3,500.00         | Paid                  |
| <a href="#">EastBay Asset Management, LLC, and EastBay Master Fund, LP</a> | 67,000.00        | Paid                  |
| <a href="#">EBI Electronic Benefits Inc.</a>                               | 17,500.00        | Unpaid                |
| <a href="#">Elsie, Randall</a>                                             | 3,500.00         | Paid                  |
| <a href="#">Evangeline Wind Field</a>                                      | 3,000.00         | Paid                  |
| <a href="#">Fillmore, Bruce</a>                                            | 8,500.00         | Paid                  |
| <a href="#">Fillmore, Byron</a>                                            | 8,500.00         | Paid                  |
| <a href="#">Fleming, William</a>                                           | 3,000.00         | Paid                  |
| <a href="#">Fractional Finance Inc.</a>                                    | 16,000.00        | Partially Paid        |
| <a href="#">Germeil, Jean-Smaille and FPE Trading</a>                      | 165,000.00       | Unpaid                |
| <a href="#">Getta, Alexander</a>                                           | 2,500.00         | Paid                  |
| <a href="#">Glidepath Portfolio Services Inc.</a>                          | 47,000.00        | Partially Paid        |
| <a href="#">Global Maxfin Investments Inc.</a>                             | 10,750.00        | Paid                  |
| <a href="#">GlobeInvest Capital Management Inc.</a>                        | 2,500.00         | Paid                  |
| <a href="#">Glooscap Wind Field Inc.</a>                                   | 3,250.00         | Paid                  |
| <a href="#">Harrigan, Michael Andrew</a>                                   | 8,500.00         | Partially Paid        |
| <a href="#">Helical Corporation Inc., The</a>                              | 62,400.00        | Paid                  |
| <a href="#">Helical Corporation Inc., The</a>                              | 500.00           | Paid                  |

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| <a href="#">Hibbert, Lyndon Horace</a>                                                                                                                                                         | 21,000.00  | Partially Paid |
| <a href="#">Hicks, Eric Cecil</a>                                                                                                                                                              | 125,000.00 | Paid           |
| <a href="#">Hill, Trevor Wayne</a>                                                                                                                                                             | 518,000.00 | Unpaid         |
| <a href="#">Homburg Invest Inc.</a>                                                                                                                                                            | 86,400.00  | Partially Paid |
| <a href="#">Investors Group Financial Services</a>                                                                                                                                             | 27,500.00  | Paid           |
| <a href="#">Investors Group Financial Services Inc.</a>                                                                                                                                        | 42,500.00  | Paid           |
| <a href="#">IPC Investment Corporation</a>                                                                                                                                                     | 43,000.00  | Paid           |
| <a href="#">IPC Securities Corporation</a>                                                                                                                                                     | 12,500.00  | Paid           |
| <a href="#">Jiang, Yunfu</a>                                                                                                                                                                   | 19,000.00  | Unpaid         |
| <a href="#">Johnson, Douglas Allen</a>                                                                                                                                                         | 6,000.00   | Paid           |
| <a href="#">Johnson, J. Arnold</a>                                                                                                                                                             | 5,000.00   | Paid           |
| <a href="#">Keogan, Russel Dan</a>                                                                                                                                                             | 5,000.00   | Paid           |
| <a href="#">Keybase Financial Group Inc.</a>                                                                                                                                                   | 110,000.00 | Paid           |
| <a href="#">Langille, Jeremiah David</a>                                                                                                                                                       | 77,500.00  | Unpaid         |
| <a href="#">Leonard, Andrew and A.J.R. Leonard Consulting, et al</a>                                                                                                                           | 65,000.00  | Unpaid         |
| <a href="#">Live Ship Ltd.</a>                                                                                                                                                                 | 5,500.00   | Paid           |
| <a href="#">Lynch, Michael Dennis</a>                                                                                                                                                          | 3,500.00   | Paid           |
| <a href="#">MacDermott, Ralph and A.C.T. Associated Capital Traders</a>                                                                                                                        | 26,000.00  | Partially Paid |
| <a href="#">Marino, Mario</a>                                                                                                                                                                  | 15,000.00  | Paid           |
| <a href="#">Maritra Trading Service Inc.</a>                                                                                                                                                   | 120,000.00 | Paid           |
| <a href="#">McLaughlin-Weir, Carol</a>                                                                                                                                                         | 12,650.00  | Paid           |
| <a href="#">Medmira Inc.</a>                                                                                                                                                                   | 125,940.00 | Paid           |
| <a href="#">Medmira Inc.</a>                                                                                                                                                                   | 25,000.00  | Unpaid         |
| <a href="#">Mill, Peter</a>                                                                                                                                                                    | 904,705.00 | Unpaid         |
| <a href="#">National Bank Financial Limited</a>                                                                                                                                                | 125,000.00 | Paid           |
| <a href="#">NexLiving Communities Inc.</a>                                                                                                                                                     | 16,000.00  | Paid           |
| <a href="#">Norman, Terrance</a>                                                                                                                                                               | 5,000.00   | Paid           |
| <a href="#">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)</a> | 35,000.00  | Unpaid         |
| <a href="#">Northeastern Community Investment Incorporated</a>                                                                                                                                 | 3,000.00   | Paid           |
| <a href="#">Northumberland Wind Field Inc.</a>                                                                                                                                                 | 5,000.00   | Paid           |
| <a href="#">Olympian Financial Inc.</a>                                                                                                                                                        | 11,200.00  | Paid           |
| <a href="#">optionsXpress, Inc.</a>                                                                                                                                                            | 3,749.00   | Paid           |
| <a href="#">Orthogenic Technologies Inc.</a>                                                                                                                                                   | 26,500.00  | Paid           |
| <a href="#">Oxford Investment Holdings Inc.</a>                                                                                                                                                | 12,730.00  | Paid           |
| <a href="#">PharmaChoice East Ltd. Amalgamated as PharmaChoice Canada Inc.</a>                                                                                                                 | 19,500.00  | Paid           |
| <a href="#">Publicover, Taura Irene</a>                                                                                                                                                        | 31,000.00  | Partially Paid |
| <a href="#">Quadrus Investment Services Ltd.</a>                                                                                                                                               | 41,000.00  | Paid           |
| <a href="#">Quadrus Investment Services Ltd.</a>                                                                                                                                               | 41,000.00  | Paid           |
| <a href="#">Rae &amp; Lipskie Investment Counsel Inc.</a>                                                                                                                                      | 31,500.00  | Paid           |
| <a href="#">Rawding, John C.</a>                                                                                                                                                               | 3,250.00   | Paid           |
| <a href="#">Rethy, Steven Jules</a>                                                                                                                                                            | 22,500.00  | Paid           |
| <a href="#">Return on Innovation Advisors Ltd., et al</a>                                                                                                                                      | 11,500.00  | Paid           |
| <a href="#">River John Oceanfront Resorts Ltd.</a>                                                                                                                                             | 3,000.00   | Paid           |
| <a href="#">Robinson, Christopher</a>                                                                                                                                                          | 6,500.00   | Paid           |
| <a href="#">Robinson, Wesley William and DRR900306 NS Ltd</a>                                                                                                                                  | 525,000.00 | Unpaid         |
| <a href="#">Royal Roads Corp.</a>                                                                                                                                                              | 21,500.00  | Paid           |

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| <a href="#">Rudolph, Douglas</a>                                                                   | 1,104,705.00 | Unpaid         |
| <a href="#">Rust, Grant Stuart</a>                                                                 | 11,000.00    | Paid           |
| <a href="#">Scallop Shell Pollution Solution</a>                                                   | 5,750.00     | Partially Paid |
| <a href="#">Schriver, Bruce Patrick (<a href="#">Order No. 1</a>; <a href="#">Order No. 2</a>)</a> | 18,500.00    | Partially Paid |
| <a href="#">Scotia Securities Inc.</a>                                                             | 31,000.00    | Paid           |
| <a href="#">Scotia Securities Inc.</a>                                                             | 41,000.00    | Paid           |
| <a href="#">Scotian Wind Inc. and Terrance Norman</a>                                              | 8,000.00     | Paid           |
| <a href="#">Select Money Strategies Incorporated</a>                                               | 13,000.00    | Paid           |
| <a href="#">Silver Spruce Resources Inc.</a>                                                       | 14,000.00    | Paid           |
| <a href="#">Smith, Dr. James A.</a>                                                                | 3,000.00     | Paid           |
| <a href="#">Sponagle, Quintin Earl</a>                                                             | 527,000.00   | Unpaid         |
| <a href="#">Stone, Mark</a>                                                                        | 25,000.00    | Unpaid         |
| <a href="#">Stone, Teddy</a>                                                                       | 25,000.00    | Unpaid         |
| <a href="#">Stratus Offshore/Stratus Financial Group International</a>                             | 50,000.00    | Unpaid         |
| <a href="#">Stratus Offshore/Stratus Financial Group International, et al</a>                      | 3,000.00     | Unpaid         |
| <a href="#">Stuckless, Everett R.</a>                                                              | 7,500.00     | Unpaid         |
| <a href="#">TD Waterhouse Canada Inc.</a>                                                          | 11,000.00    | Paid           |
| <a href="#">Torgerson, Magnus</a>                                                                  | 40,000.00    | Unpaid         |
| <a href="#">TradeStation Securities Inc.</a>                                                       | 10,000.00    | Paid           |
| <a href="#">Trusthouse Mercantile Inc. and Raymond, Robert Ernest</a>                              | 112,000.00   | Partially Paid |
| <a href="#">Ucore Rare Metals Inc.</a>                                                             | 2,500.00     | Paid           |
| <a href="#">Union Securities Inc.</a>                                                              | 27,000.00    | Paid           |
| <a href="#">Unique CEDC Ltd.</a>                                                                   | 3,250.00     | Paid           |
| <a href="#">Vestcap Investment Management Inc.</a>                                                 | 31,500.00    | Paid           |
| <a href="#">Weir, Lowell</a>                                                                       | 31,160.00    | Paid           |
| <a href="#">Westbrook, John</a>                                                                    | 25,000.00    | Unpaid         |