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## **DIANE A. URQUHART**

1486 Marshwood Place,  
Mississauga, Ontario, L5J 4J6  
Phone: (905) 822-7618  
Cellular: (647) 980-7618  
FAX: (905) 822-0041  
E-mail: [urquhart@rogers.com](mailto:urquhart@rogers.com)



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### PROFESSIONAL EXPERIENCE

Currently Independent financial analyst promoting better investor protection laws, enforcement and adjudication in Canada. Conduct research and prepare communications for federal and provincial legislators, the media, police forces, Canadian and U.S. securities and accounting regulators, and citizen associations, such as: the National Pensioners & Senior Citizens Federation (estimated 1,000,000 members), the United Senior Citizens of Ontario (300,000 members), Rights For Nortel Disabled Employees (400 disabled) and the KAIROS Social Ecumenical Initiative.

Financial expert for class action lawsuits and Companies' Creditors Arrangement Act court proceedings involving large numbers of small investors, pension funds and employees. Appointed financial advisor under the Representative Counsel Order for the Ad Hoc Committee of Retail ABCP Owners on April 15, 2008 (1,800 persons).

Equities representative on the United Church Investment Committee overseeing external investment management of over \$1 billion pension fund assets.

Manage family investments.

Aug. 1994 - Feb. 1998 Scotia Capital Markets  
Managing Director of Equity Research and Investment Strategist.  
Lead a team of 62 people, including 27 strategic, fundamental and quantitative analysts, with the support of research associates, publishers, systems and communications personnel. Member of Executive Committee. Chairman of Investment Strategy Committee and key spokesperson for Scotia Capital Markets to the media and clients on retail and institutional investor issues. Helped build SCM institutional equities business by recruiting 62 people or 42% of sales, trading and research personnel.

Chaired Strategic Technology Task Force with representatives from 12 business divisions. Oversaw the design and implementation of new web-based analytical and trading systems

Dec. 1984 - July 1994	<p>Burns Fry Limited  Managing Director of Equities Research and Institutional Equities.  Co-led the daily operations of 175 research, sales and trading personnel in Canada's best reputational franchise for institutional equities and number one equity research operation. Chairman of Investment Strategy Committee and Institutional Equities Portfolio Committee and member of Investor Services Portfolio Committee. Member of BF Planning Committee and Retirement Committee, and trustee for Investor Services Wrap Accounts. Key responsibilities for equity research, sales and marketing, and equities system development. Managed both Canadian and U.S. research operations.</p> <p>Financial Services Analyst, December 1984 to January 1991. Achieved number one non-bank financial services analyst position in Brendan Wood International Institutional Equities Survey.</p>
Dec. 1980 -Nov. 1984	<p>Toronto Stock Exchange  Director of Economics and Business Development  Supported various Canadian Exchange and Investment Dealers Association Committees, covering investment taxation, registered retirement plans and other areas affecting the integrity and effectiveness of the capital markets.</p>
May 1977 -July 1980	<p>City Of Toronto, Planning and Development  Real Estate Economist</p>

#### EDUCATION & PROFESSIONAL ASSOCIATIONS

Current	Member of CFA Institute and Toronto CFA Society
- Feb. 1992	Section 16 Supervisory Analyst Examination, New York Stock Exchange
March 1991	Partners, Directors and Senior Officers Examination, Canadian Securities Institute
Feb. 1981	Canadian Securities Course and Registered Representative Examination Canadian Securities Institute
Sept. 1976	M.A. in Economics, University of Toronto,
-May 1977	Econometrics and Monetary Economics
Sept. 1972	Honours B.A. in Economics and Mathematics,
-May 1976	McMaster University, Hamilton

#### SCHOLARSHIPS AND AWARDS

Canada Council Special M.A. Scholarship 1976-1977; Hurd Medal For Honours Economics and Kenneth W. Taylor Book Prize For Top Standing in Economics 1976; Dr. Thomas Hobley Prize For Top Standing in Economics or Political Science 1975; C.U.N.A. Mutual Insurance Society Scholarship For Top Standing in Honours Economics and Math or Commerce 1974-1975; Senate Scholarships For Academic Proficiency 1973-1975; Lloyd Memorial Scholarship For Science 1972-1976; and, Ontario Scholarship-Grade XIII Pelham High School 1972.

## **NATIONAL SECURITIES CRIME UNIT**

**<http://ismymoneysafe.org>**

- **Securities Crime Unit Video**
- **SCU Webinar Video**
- **Securities Corruption - CBC Sunday News - Great Wall Street Swindle: Shady Practices on Canada Too?**
- **Advisors' Corruption - CBC Sunday News - Can you trust your advisor?**

**[Standing Committee of Government Agencies on the OSC March 29, 2010](#)**

**[Ontario Hansard Transcript - National Securities Regulator & Financial Fraud Policing March 24, 2010](#)**

**[Letter to Federal Public Safety Minister Peter Van Loan Nov. 9, 2009](#)**

**[APPENDIX B Letters from Provincial Federal Officials SCU Nov. 9, 2009](#)**

**[APPENDIX C Letter from Director RCMP IMET Nov. 12, 2009](#)**

**[Hill Times - Fixing Canada's 'Third World' securities crime enforcement Jan. 7, 2008](#)**

## **NORTEL INSOLVENCY AND BREACH OF FIDUCIARY DUTIES WITHIN TRUST ACCOUNT FOR THE DISABLED**

**[Ending Lives of Canadian Disabled June 2011](#)**

**[Systemic Failure of Employer Sponsored Disability Insurance June 2011](#)**

**[NPSCF Convention - Stop Asking Seniors and the Disabled to Make Sacrifices to Clean Up the Mess of Governments' Own Making Oct. 22, 2010](#)**

**[United Senior Citizens of Ontario Pensions Workshop Aug. 17, 2009](#)**

**[OFL - CLC Pension Summit Urquhart Presentation on Insolvency and Employee Benefits March 27, 2010](#)**

**[CARP - 50Plus & Common Front for Security Conflicts of Interest Oct. 12, 2008](#)**

**[Consolidated and Updated Report Bankruptcy and Employee Claims - Nortel Case Jan. 4, 2010](#)**

**[Urquhart Presentation to Industry Minister Tony Clement Roundtable Dec. 10, 2010](#)**

**[Urquhart Presentation on Bill C-501 to House of Commons Industry Science and Technology Committee Nov. 16, 2010](#)**

[Urquhart Presentation on Bill S-216 to the Senate Banking, Trade and Commerce Committee Nov. 18, 2010](#)

[Senate Banking Trade and Commerce Committee on Bill S-216 is an Essential Policy Change - Urquhart Oct. 18, 2010](#)

## **NON BANK ABCP BREACH OF FIDUCIARY DUTIES TO SENIORS AND FRAUD**

[Another Made-In-Canada Defective Investment Product - ABCP Dec. 17, 2007](#)

[Ontario Government Initiatives Affecting Non Bank ABCP Market - With Docs Sept. 11, 2008](#)

[Canadian Police College Investment Fraud Course Urquhart June 4, 2010](#)

[Ethics Centre Luncheon Address on ABCP March 26, 2009](#)

## **INCOME TRUSTS BREACH OF FIDUCIARY DUTIES TO SENIORS AND FRAUD**

[Income Trusts Heads I Win Tails You Lose Oct. 12, 2006](#)

[Worst is Yet to Come - \\$20 Billion Deception Dwarfs Tax Debate Nov. 16, 2005](#)

[Seniors Seek Criminal Investigation of Deceptive Cash Yields of Income Trusts May 27, 2007](#)

[Income Trusts One Year Later Oct. 31, 2007](#)

[Recommended CASB Accounting Standards for Income Trusts Letter May 30, 2006](#)

[US Democratic Congress Bill Reinforces Canadian Governments' Stance on Income Trusts March 24, 2007](#)

[House of Commons Finance Committee on Income Trusts Jan. 30, 2007](#)

[House of Commons Finance Committee on Income Trusts Feb. 13, 2007](#)

[House of Commons Finance Committee on Income Trusts May 29, 2007](#)

[Teranet Income Fund Ontario Government Compromised & Seniors Deceived By Yield June 8, 2006](#)

**ONTARIO SECURITIES COMMISSION CAPTURED BY INVESTMENT INDUSTRY**

**[Ontario Government Agencies Committee Presentation on OSC Feb. 23, 2009](#)**

**[Ontario Government Agencies Committee Report on OSC March 29, 2010](#)**

**[Urquhart Submission to Expert Panel on Securities Regulation June 12, 2008](#)**

**[Ontario Finance Committee on Securities Regulation System to Aug. 18, 2004](#)**

**[House of Commons Wise Persons Committee Sept. 2003](#)**

**ALBERTA SECURITIES COMMISSION CORRUPTION**

**[Calgary Herald - Province urged to revisit ASC file - Investor advocate says it is invalid April 12, 2005](#)**

**[Auditor General of Alberta Audit of ASC Oct. 2005](#)**

**EXCESSIVE MUTUAL FUND FEES**

**[Mutual Fund Company Share of Investment Returns - Urquhart Analysis Sept. 2006](#)**