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## **DIANE A. URQUHART**

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### PROFESSIONAL EXPERIENCE

Currently Financial expert for class action and Companies' Creditors Arrangement Act court proceedings involving large numbers of small investors, pension funds and employees. Cases include ABCP, CIBC US subprime mortgage misrepresentations and Nortel long term disabled employees breach of trust and misrepresentations.

Appointed financial advisor under the Representative Counsel Order for the Ad Hoc Committee of Retail ABCP Owners on April 15, 2008 (1,800 persons). In the ABCP case, helped to achieve the largest retail investor settlement in Canadian history at \$188 million and second largest securities regulatory settlement at \$142 million.

Independent financial analyst promoting better investor protection laws, enforcement and adjudication in Canada. Conduct research 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), and Rights For Nortel Disabled Employees (360 disabled).

My research was a major factor in (a) 2006 Federal Government decision to shut down \$197 billion energy and business income trust industry through a new income trust tax that went into effect in 2012; (b) 2012 Federal Government adoption of mandatory long term disability insurance for federally regulated private sector corporations with LTD plans; (c) 2007 Alberta Securities Commission audit and commissioner changes; and (d) 2011 Federal Government amendments of Criminal Code for white collar crime and continued efforts to obtain National Securities Commission and strengthening or restructuring of the RCMP IMET Unit.

Manage family investments.

1998 to 2011 Member of Investment Committee for the United Church Pension Plan

Aug. 1994 - Scotia Capital Markets  
Feb. 1998 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

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.

Financial Services Analyst, December 1984 to January 1991. Achieved number one non-bank financial services analyst position in Brendan Wood International Institutional Equities Survey.

Dec. 1980  
-Nov. 1984

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.

May 1977  
-July 1980

City Of Toronto, Planning and Development  
Real Estate Economist

#### EDUCATION & PROFESSIONAL ASSOCIATIONS

Current  
- Feb. 1992  
March 1991  
Feb. 1981

Member of CFA Institute and Toronto CFA Society  
Section 16 Supervisory Analyst Examination, New York Stock Exchange  
Partners, Directors and Senior Officers Examination, Canadian Securities Institute  
Canadian Securities Course and Registered Representative Examination Canadian Securities Institute

Sept. 1976  
-May 1977  
Sept. 1972  
-May 1976

M.A. in Economics, University of Toronto,  
Econometrics and Monetary Economics  
Honours B.A. in Economics and Mathematics,  
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.