

[REDACTED]

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**From:** hello@dwgood.com  
**Sent:** [REDACTED]  
**To:** [REDACTED]  
**Subject:** SRO Framework response  
**Attachments:** Statement\_780681\_Dec-2019.pdf

**EXTERNAL EMAIL**

Dear Sirs/Madam:

I understand the deadline to respond to the consultation paper has come and gone but I thought I should respond. Having been licensed as a representative since 1981 and as a mutual funds dealer firm since 1996 I have a tenured history that may offer some insight into a smaller dealer. The primary reason I did not respond to the consultation paper is also the very reason that I find it difficult to function under the MFDA framework – I am too busy and the amount and varying tasks are at times overwhelming. I am asked to be an expert on everything and this is daunting so I “pick my battles”.

I have attached a statement from my RRSP to illustrate that I have the ability to process complex data and simplify it to achieve what I want. In this case making money. [REDACTED] does not go back very far ([REDACTED]) but to give you a some context my total RRSP deposits since I began contributing has been \$[REDACTED] as I have not generated earned income for many years from my mutual fund dealer corporation D.W. Good Investment Company. I also went through a divorce proceeding in [REDACTED] and had to transfer close to half of my RRSP to my spouse at the time and also set up a RRIF for \$[REDACTED] from my RRSP a couple of years ago. So having a current RRSP of close to \$[REDACTED] means something. Investments outside of my RRSP have generated similar results.

What I would like to say is that I was better off as a small dealer operating under the ASC before the SRO bodies came into existence and would prefer to be overseen solely by them again.

I hope this find you well,

Dan Good  
President  
D.W. Investment Co. Ltd.