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Investment Advice—Participants and Beneficiaries

Comment On: EBSA-2008-0011-0001
Investment Advice—Participants and Beneficiaries

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Submitter Information
Name: Gail Edward Johnson
HATBоро, PA, 19040
Organization: JF ACTUARIAL SERVICES, INC.

General Comment
THE RULES SHOULD INCLUDE A GENERAL EXEMPTION FOR A REGISTERED
INVESTMENT ADVISOR REPRESENTATIVE WHO GIVES GENERAL INVESTMENT
INFORMATION AND INFORMATION ON SPECIFIC FUNDS WITHOUT GIVING SPECIFIC
PERCENTAGES ON HOW A PARTICIPANT SHOULD PROCEED, AS LONG AS THE RIA
REPRESENTATIVE'S COMPENSATION IS NOT AFFECTED BY WHAT THE PARTICIPANT
CHOSES. THIS WOULD ALLOW THE BRIEF GIVE AND TAKE BETWEEN TPA'S AND
PARTICIPANTS THAT IS NORMAL IN THE INDUSTRY.