



November 27, 2023

VIA ELECTRONIC SUBMISSION

Office of Regulations and Interpretations
Employee Benefits Security Administration
U.S. Department of Labor
200 Constitution Ave., NW
Washington, DC 20210

**Re: Hearing on Retirement Security Rule:
Definition of an Investment Advice Fiduciary
and Associated Prohibited Transaction
Exemption Amendments**

Dear Assistant Secretary Gomez:

The Securities Industry and Financial Markets Association (“SIFMA”)¹ requests to testify at the public hearing on the Retirement Security Rule: Definition of an Investment Advice Fiduciary and Associated Prohibited Transaction Exemption Amendments on December 12th, 2023. On November 8th, 2023, SIFMA, along with 17 other trade associations, submitted a written comment to request an extension of the comment period. I, Lisa Bleier, Managing Director and Associate General Counsel, Head of Wealth Management, Retirement, and State Government Relations at SIFMA, would be testifying. My email is bleier@sifma.org and phone number is (202) 962-7329.

Respectfully Submitted,

Lisa Bleier

¹ SIFMA is the leading trade association for BDs, investment banks, and asset managers operating in the U.S. and global capital markets. On behalf of our industry’s nearly one million employees, we advocate on legislation, regulation, and business policy affecting retail and institutional investors, equity and fixed income markets, and related products and services. We serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency. We also provide a forum for industry policy and professional development. SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (the “GFMA”).