

PUBLIC SUBMISSION

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Docket: EBSA-2023-0014
Definition of an Investment Advice Fiduciary

Comment On: EBSA-2023-0014-0003
Hearings, Meetings, Proceedings etc.: Retirement Security Rule; Definition of an Investment Advice Fiduciary and Associated Prohibited Transaction Exemption Amendments

Document: 1210-AC02 request 0014 Public Investors Advocate Bar Association Peiffer 11282023

Submitter Information

Organization: Public Investors Advocate Bar Association

General Comment

The Public Investors Advocate Bar Association ("PIABA") is an international bar association comprised of attorneys who represent investors in disputes with the securities industry. Since its formation in 1990, PIABA has promoted the interests of the public investor in all securities and commodities arbitration forums, while also advocating for public education regarding investment fraud and industry misconduct.

PIABA requests to testify in support of the proposed rule. PIABA would like to provide examples of American investors who have been harmed and how this rule change will benefit these investors going forward.

Individual to testify is Joseph C. Peiffer, PIABA President and Founding Partner, Peiffer Wolf Carr Kane Conway & Wise. Jennifer Shaw, PIABA Executive Director, requests to be present during testimony.

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