

MEMO# 26534

September 28, 2012

Section 408(b)(2) Disclosure Format and Customer Response Survey

ACTION REQUESTED

[26534]

September 28, 2012

TO: PENSION COMMITTEE No. 29-12
PENSION OPERATIONS ADVISORY COMMITTEE No. 27-12 RE: SECTION 408(b)(2)
DISCLOSURE FORMAT AND CUSTOMER RESPONSE SURVEY

Attached is an informal survey designed to obtain an understanding of the various formats members utilized to meet their 408(b)(2) disclosure obligations as well as the types of inquiries and questions received in response to the disclosures. This survey is in response to our discussion during the August 23, 2012 conference call, when we discussed the possibility of conducting an informal survey to obtain data to use in future discussions with the Department of Labor regarding the Department's anticipated Summary/Guide Notice of Proposed Rulemaking.

Please note that participation in this informal survey is voluntary. Any use or discussion of the informal survey results will be based on aggregate data responses and will not identify any member name or other identifiable information. If you plan to respond to the survey and have utilized different disclosure procedures for your different business segments, please provide one survey response for each business segment and indicate the applicable business segment on the second page of the survey.

We would appreciate receiving survey responses by Friday, October 19, 2012. Please contact me at 202-326-5810 or howard.bard@ici.org if you have any questions.

Howard Bard
Associate Counsel

[Attachment](#)

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