

117 Focis Street., Suite 205, Metairie, LA 70005  
Phone: 504.831.4345 • Fax: 504.831.4346 • Email: alopez@nextfinancial.com

**Al Lopez, CFP® CLU**  
**CERTIFIED FINANCIAL PLANNER™ practitioner**  
**Insurance Benefits & Retirement**

April 09, 2008

Ms. Nancy M. Morris  
Secretary Securities and Exchange Commission  
100 F Street, NE  
Washington, DC 20549-1090



Re: File Number S7-06-08

Dear Secretary Morris:

This letter is an attempt to promote the need for client privacy and also facilitate ease of client transfer of records to a financial advisors new broker-dealer. Having done this twice, I recognize the complexity of getting clients situated with a new broker-dealer. In the process of making such a change, the utmost care is rendered in making clients aware of their right to information, and also importantly their right to whom they wish to contract their investment advice and service. Privacy is central and in this vein I recommend a fair resolution to this issue. Accordingly information needed to deliver client accounts in good order to whatever firm they wish to do business with is the goal.

Respectfully submitted,

Al Lopez, CFP(R) CLU  
yvl