

Sample Client Notification Letter #4

Direct Mail Piece for New KSI Representative:

Should be used on approved letterhead only.

Usage: This direct mail piece is designed to be used by new representatives to announce their broker/dealer change.

Approval: Submit this piece on the letterhead on which it will be sent.

(insert date)

(insert client's name and address)

Dear (insert Client's Name):

I am writing to advise you that I recently changed my Broker/Dealer affiliation from (insert previous broker/dealer name) to Kovack Securities, Inc.

Enclosed please find a New Account Form which is required for all securities clients now handled through Kovack Securities, Inc, and a Change Broker/Dealer Form. This notice will facilitate the process of changing your accounts from (insert previous broker-dealer) to Kovack Securities, Inc., and allow me to remain the Representative of record. Please complete and sign where indicated and return to me in the enclosed postage paid envelope as soon as possible.

Also enclosed is a Kovack Securities, Inc. Company Brochure that includes their Privacy Statement, Business Continuation Plan, and SIPC contact information for you to read and keep.

Please feel free to contact me at (insert phone number) with any questions you may have. I look forward to continuing to serve your financial needs.

Sincerely,

(insert your name)