



VERSION A — Standard Resignation

Use when one or both firms are NOT in the Broker Protocol, or when in doubt. Keep it bare-bones and let counsel handle client-data questions separately.

Use this as a template for your own letterhead.

[Date]

[Broker-Dealer / RIA Name]

Attn: [Branch Manager / Compliance Department]

[Street Address]

[City, State ZIP]

Re: Resignation

Dear [Name / Branch Manager / Compliance]:

Please accept this letter as notice of my resignation as a registered representative and investment adviser representative of [BD Name] and [RIA Name], effective [date and time].

Effective as of the date above, I am ending my affiliation and all related agreements. Please process the termination of my registrations, including Form U5, promptly and accurately.

I will return any firm property in my possession and remain available to coordinate an orderly transition of client accounts.

Thank you for the opportunity to have been affiliated with the firm.

Sincerely,

[Advisor Name]

CRD #[Number]

Before You Send — Quick Checklist

- Confirm the effective date AND time. Advisors resigning and joining same-day often state a specific time.
- Verify Broker Protocol membership for both firms before using Version B. Use Version A if either is out, or if unsure.
- Have the advisor deliver per their agreement (hand-delivery, email, certified mail) and keep a copy.
- Return all firm property; do not take files or data beyond what Protocol permits (Version B) or what council approves (Version A).
- This is a general go-by, not legal advice. Have counsel review for the specific situation, especially where non-solicit or garden-leave terms may apply.