



VERSION B — Broker Protocol

Use ONLY when both the resigning advisor's current firm and the receiving firm are members of the Broker Protocol. Confirm current membership for BOTH firms before using — membership changes. Permitted client information is limited to name, address, phone, email, and account title.

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].

This resignation is submitted in accordance with the Protocol for Broker Recruiting. I am taking with me only the client information permitted under the Protocol: client name, address, phone number, email address, and account title for the clients I serviced while affiliated with the firm. I am not taking any other documents or information.

A list of the clients I am taking is enclosed, consistent with the Protocol's requirements.

Please promptly and accurately process the termination of my registrations (Form U5). I will return any remaining firm property and remain available to coordinate an orderly transition.

Thank you for the opportunity to be affiliated with the firm.

Sincerely,

[Advisor Name]

CRD #[Number]



Enclosure: Protocol client list

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.