

## Sample Client Notification Letter #3

### 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):

Enclosed you will find a few forms needed to complete the transition of your account(s) from (insert previous broker/dealer name) to Kovack Securities, Inc.

The first form is a New Account Application that asks several questions about your investment background and objectives. This will aid us in formatting an investment strategy to assist you in working toward your long range goals. It will also help me ensure that the investments we choose are suitable for your individual situation. Please fill this out completely and be sure that it is signed by you (or both of you) where indicated.

I thank you for your help in this matter. I look forward to a speedy transfer of your account(s). Please call me at (insert phone number) if you have any questions about either of these forms or if you have any other questions or concerns.

Sincerely,

(insert your name)