

**John Doe**

Financial Advisor

Registered Principal

123 Sample Way

Sampletown, ST 55555

(555) 555-9766 *Office*

(555) 555-4663 *Cell*

Dear Valued Client,

I have had the honor and pleasure of working with you on your financial goals and concerns over the last five years here at LPL Financial and for the past twenty-two years of my financial career. Our relationship, including learning about you, your goals and working towards achieving them, has given my work true meaning. The time has come for me to retire. As part of the process, making sure your financial goals are still being addressed, I have carefully chosen the next person to take on this responsibility. Finding the right person with whom to entrust my business was not something I took lightly.

I am pleased to introduce to you, Jane Smith, a fellow LPL advisor, who will soon be acquiring my office and practice. I have known and worked closely with Jane for over 12 years. She was my regional manager at People’s Securities Inc. and later as a fellow advisor at LPL Financial. I have selected Jane for her character, integrity, and competency, and I believe you will enjoy and benefit from working with her. As Jane transitions into my business, be assured her comprehensive knowledge and experience will be an asset in helping you to continue to plan your financial future.

Jane has over 25 years of experience in the financial services industry. She is a graduate from UConn with a Bachelor of Arts in Economics and has been a Financial Advisor and Regional Business Consultant with LPL Financial, Regional Management with People’s Securities, Inc. and John Hancock Financial Network, as well as a Financial Advisor with MetLife and American Express. Jane holds FINRA Series 24, 7, 63, 65, and 51 in addition to her insurance license with LPL Financial. The years of experience the two of us have working together will ensure a smooth and seamless transition.

I will begin the transition process over the next few weeks, as my final day will be about mid-July. I am available for calls, questions and advise for the next few weeks while Jane transitions in and gets to know you.

In addition, it is important for you to know that the office that I have maintained at 123 Sample Way for the last five years will stay as-is, and Jane will be working with you out of this location. In the interim, Jane can be reached at (555) 444-4444 for any servicing on account.

**Important details about this change**

This change will have little impact on your account; however, I want to make sure you’re aware of the following:

* Your current investment portfolio will remain the same.
* This transition will occur at no cost to you.
* You will continue to receive your regular statement(s) from LPL (although you may notice a different logo beginning to appear on your statements).
* Your account number(s) will not change, and you will continue to have convenient access to your account(s) just as you have in the past.

While you are under no obligation, I hope you will remain working with Jane for many years to come. Jane and I look forward to having a call with you and discussing your financial needs and to answer any questions you have about your account or the transition.

Thank you for the opportunity to advise you with your financial affairs over these many years.

All the best,

**John Doe**

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\*Compensation has been paid in connection with this purchase.