Investment Advisor Succession Policy Framework

Date: [Insert Date]

To: [Recipient Name]

From: [Your Name]
[Your Title]
[Your Company]

Dear [Recipient Name],

I hope this letter finds you well. As part of our commitment to ensuring the continuity and quality of our advisory services, we are pleased to present our Investment Advisor Succession Policy Framework.

Purpose

The goal of this framework is to outline the procedures for transitioning advisory responsibilities in the event of unexpected circumstances affecting our advisors, ensuring minimal disruption to our clients.

Key Components

- **Identifying Successors:** Criteria for selecting qualified candidates.
- **Training and Development:** Programs to prepare successors for their roles.
- **Client Communication:** Strategies for informing clients about the transition.
- **Continuous Review:** Regular assessment of the succession plan's effectiveness.

Implementation Plan

A detailed plan for launching the succession strategy will be developed and communicated in the upcoming weeks. We will ensure all stakeholders are informed and engaged throughout the process.

We appreciate your attention to this important matter and welcome any feedback you may have.

Thank you for your continued trust and partnership.

Sincerely,
[Your Name]

[Your Title]
[Your Company]