

[Your Name]
[Your Address]
[City, State, Zip Code]
[Your Email]
[Your Phone Number]

[Date]

[Name of Wealth Manager/Financial Advisor]
[Name of Firm]
[Firm Address]
[City, State, Zip Code]

RE: NOTICE OF IMPENDING LITIGATION - BREACH OF FIDUCIARY DUTY

Dear [Name of Advisor/Firm Representative],

This letter serves as formal notice of my intent to initiate legal proceedings against [Name of Firm] and [Name of Advisor] for breaches of fiduciary duty related to the management of my investment accounts (Account Number: [Account Number]).

As my wealth management firm, you owed me a fiduciary duty to act in my best interests, exercise the utmost good faith, and provide full disclosure of all material facts. Based on a review of my records, it appears you have breached these duties through the following actions:

- [Description of Breach 1, e.g., Unauthorized trading]
- [Description of Breach 2, e.g., Failure to disclose conflicts of interest]
- [Description of Breach 3, e.g., Unsuitable investment recommendations]
- [Description of Breach 4, e.g., Excessive fees or churning]

These actions have resulted in significant financial losses totaling approximately \$[Amount].

I am prepared to file a formal complaint with the [Financial Industry Regulatory Authority (FINRA) / Securities and Exchange Commission (SEC)] and pursue a civil lawsuit to recover damages, interest, and legal fees. However, I am willing to discuss a settlement of this matter before proceeding with litigation.

Please respond in writing within [Number, e.g., 10] business days of receipt of this letter to indicate whether you are willing to resolve this dispute amicably. If I do not hear from you by [Date], I will instruct my legal counsel to proceed with formal action without further notice.

Govern yourselves accordingly.

Sincerely,

[Your Signature]

[Your Printed Name]