

[Your Company Name]  
[Your Address]  
[City, State, Zip Code]  
[Date]

[Recipient Name/Compliance Officer]  
[Financial Institution Name]  
[Address]  
[City, State, Zip Code]

**Subject: Notification of Compliance with Customer Protection Rule (SEC Rule 15c3-3)**

Dear [Recipient Name],

This letter serves as formal notification regarding our firm's adherence to the Customer Protection Rule under the Securities Exchange Act of 1934.

In accordance with the regulatory requirements, we hereby certify that:

- **Physical Possession or Control:** All fully paid and excess margin securities carried for the account of our customers are maintained in our physical possession or under our control as required by the Rule.
- **Special Reserve Bank Account:** We maintain a "Special Reserve Bank Account for the Exclusive Benefit of Customers." The funds held in this account are separate from our proprietary business funds and meet the calculated reserve requirement.
- **Periodic Computation:** We perform the required computations of the Reserve Formula at the intervals specified by the SEC and FINRA to ensure adequate funding and protection of customer assets.

We confirm that as of [Current Date/Period End], our firm is in full compliance with the provisions set forth in Rule 15c3-3. Supporting documentation and computation records are available for your review upon request during our scheduled audit or inspection.

Please contact the undersigned at [Phone Number] or [Email Address] if you require further information.

Sincerely,

[Signature]  
[Printed Name]  
[Title/Chief Compliance Officer]