**Broker of Record Letter – Instructions**

1. Fill out the name and address of the brokerage firm you are contacting.

2. Identify the deceased person in the subject line of the letter.

3. Advise the financial institution of your title as personal representative—either the executor of the estate or the successor trustee of the trust.

4. Attach a certified copy of letters testamentary or a copy of the trust.

5. Provide the financial institution with your contact information so they can contact you with the relevant forms and information.

6. Consider enclosing a postage-paid envelope to assist the financial institution in getting you the information you have requested.