

DATE: [Insert Date]

TO: [Recipient Name/Entity Name]

ADDRESS: [Insert Address]

RE: WARNING LETTER - UNLICENSED DISTRIBUTION OF CO-BRANDED WEALTH MANAGEMENT PRODUCTS

Dear [Name of Representative],

It has come to our attention that [Recipient Name/Entity Name] is currently marketing, offering, or distributing co-branded wealth management products bearing the [Company Name] trademark without the requisite regulatory licenses or formal authorization from our firm.

The distribution of financial products is a strictly regulated activity. Under [Relevant Law/Jurisdiction], entities must hold a valid [Specific License Type, e.g., Investment Advisory or Broker-Dealer] license to engage in such solicitation. Our records indicate that you do not possess the necessary credentials to distribute these specific co-branded instruments.

Immediate Actions Required:

- Cease and desist all marketing and distribution of the co-branded products immediately.
- Remove all references to [Company Name] from your website, promotional materials, and social media platforms.
- Provide a written confirmation of compliance with this request by [Insert Date].
- Disclose a full list of clients who have already been approached or onboarded through this unauthorized channel.

Failure to comply with this warning may result in formal legal action, including reporting this unauthorized activity to the [Relevant Financial Regulatory Authority] and pursuing damages for trademark infringement and breach of regulatory compliance.

We expect your prompt cooperation in this matter.

Sincerely,

[Your Name]

[Your Title]

[Company Name]

[Legal/Compliance Department]