

DATE: [Insert Date]

TO:

The Director of Supervision
[Central Bank Name]
[Department Name]
[Address Line 1]
[Address Line 2]

FROM:

[Your Name/Title]
[Financial Institution Name]
[License/Registration Number]

SUBJECT: Notification of Regulatory Breach / Non-Compliance

Dear Director,

This letter serves as formal notification by [Financial Institution Name] regarding a regulatory breach identified in accordance with [Insert Specific Act, Regulation, or Guideline Name].

1. Nature of the Breach:

[Provide a clear description of the breach, including the specific regulatory requirement that was violated.]

2. Discovery Date:

The breach was identified on [Insert Date] during a [Internal Audit / Compliance Review / System Alert].

3. Period of Non-Compliance:

The breach occurred between [Start Date] and [End Date/Ongoing].

4. Impact Assessment:

[Describe the potential impact on customers, the financial stability of the firm, or the integrity of the market. State if any financial losses were incurred.]

5. Remediation Steps Taken:

The following actions have been initiated to rectify the breach and prevent recurrence:

- [Action 1]
- [Action 2]
- [Action 3]

6. Point of Contact:

For further inquiries regarding this matter, please contact [Name of Compliance Officer] at [Phone Number] or [Email Address].

We remain committed to full transparency and cooperation with the Central Bank throughout the resolution of this matter.

Yours faithfully,

[Signature]

[Name of Authorized Signatory]

[Title/Position]

[Financial Institution Name]