

[Company Letterhead/Logo]

[Date]

[Recipient Name]

[Compliance Officer/Principal]

[Institution Name]

[Address Line 1]

[Address Line 2]

Subject: Notification of Anti-Money Laundering (AML) Compliance Examination

Dear [Recipient Name],

This letter serves as formal notification that [Regulatory Agency/Internal Audit Department] will conduct an examination of [Institution Name]'s Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) program. This examination is scheduled to commence on [Start Date] and is expected to conclude on or about [End Date].

The scope of this examination will include, but is not limited to, a review of:

- Internal AML policies, procedures, and controls.
- Customer Due Diligence (CDD) and Enhanced Due Diligence (EDD) records.
- Suspicious Activity Reporting (SAR) filing processes.
- AML independent testing and audit results.
- Employee training records and materials.
- Sanctions screening processes (OFAC/International lists).

To facilitate an efficient review, please provide the documents listed in the attached Request List by [Deadline Date]. Documents should be submitted via [Secure Portal/Email/Physical Delivery].

An entrance meeting has been scheduled for [Date] at [Time] via [Location/Digital Platform]. Please ensure that key compliance personnel are available during the examination period to answer inquiries.

If you have any questions regarding this notification, please contact [Examiner Name] at [Phone Number] or [Email Address].

Sincerely,

[Signature]

[Name of Lead Examiner]

[Title]

[Department/Agency Name]