

Date: [Insert Date]

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

RE: Notice of Preliminary Anti-Money Laundering (AML) Examination Findings

Dear [Recipient Name],

This letter serves to formally communicate the preliminary findings of the Anti-Money Laundering (AML) examination conducted by [Examining Body/Department Name] concluded on [Date]. The purpose of this review was to assess [Institution Name]'s compliance with relevant AML laws, regulations, and internal policies.

During the course of the examination, the following preliminary areas of concern or non-compliance were identified:

- **Finding 1:** [Description of deficiency, e.g., Incomplete Customer Due Diligence records].
- **Finding 2:** [Description of deficiency, e.g., Late filing of Suspicious Activity Reports].
- **Finding 3:** [Description of deficiency, e.g., Lack of updated AML training for staff].

Please note that these findings are preliminary and subject to further review based on any additional information or clarification your institution provides.

We request that you review these findings and provide a written response by [Deadline Date]. Your response should include:

1. Any clarifications or corrections to the facts presented above.
2. A proposed remediation plan for each finding.
3. Estimated timelines for the implementation of corrective actions.

Failure to address these findings may result in further regulatory action. We are available to discuss these matters in a formal meeting if requested.

Sincerely,

[Signature]
[Sender Name]
[Title]
[Agency/Department Name]