

[Company Letterhead]

[Date]

[Recipient Name]

[Compliance Officer/Legal Representative]

[Entity Name]

[Address Line 1]

[Address Line 2]

Subject: Notice of Regulatory Audit - Beneficial Ownership Rule Adherence

Dear [Recipient Name],

This letter serves as formal notice that [Auditing Body/Department] will conduct a regulatory audit of [Entity Name] regarding compliance with the Beneficial Ownership Requirements under [Insert Applicable Law, e.g., The FinCEN Corporate Transparency Act or AML Regulations].

The objective of this audit is to verify that your organization has established and maintained appropriate procedures to identify and verify the legal identity of beneficial owners as required by law. The audit will cover the period from [Start Date] to [End Date].

To facilitate this review, please provide the following documentation by [Deadline Date]:

- Beneficial Ownership Information (BOI) reports filed during the audit period.
- Written Customer Due Diligence (CDD) policies and procedures.
- Evidence of identity verification for individuals owning 25% or more of the equity interests.
- Records of individuals with significant responsibility to control or manage the entity.
- Updated registers of shareholders or members.

Please ensure that all requested files are available for inspection in [Physical/Digital] format. Failure to comply with this audit request or the discovery of non-compliance may result in [Insert Penalties/Regulatory Actions].

Should you have any questions regarding the scope of this audit or the required documentation, please contact [Audit Lead Name] at [Phone Number] or [Email Address].

Sincerely,

[Signature]

[Name of Authorized Official]

[Title]

[Department/Regulatory Agency]