

[Company Header/Letterhead]

[Date]

[Auditor Name/Regulatory Body Name]

[Department]

[Address]

[City, State, Zip Code]

RE: Response to Anti-Money Laundering (AML) Compliance Audit Inquiry - [Reference Number]

Dear [Name of Lead Auditor],

This letter is in formal response to your inquiry dated [Date of Inquiry] regarding the Anti-Money Laundering (AML) compliance audit for [Company Name]. We appreciate the opportunity to provide the requested documentation and clarify our internal controls.

In accordance with your request, we have attached the following documents for your review:

- Updated AML/Counter-Terrorist Financing (CTF) Policy Manual.
- Customer Due Diligence (CDD) and Enhanced Due Diligence (EDD) records for the period of [Date] to [Date].
- Suspicious Activity Report (SAR) filing logs and internal escalation procedures.
- Independent Testing/Audit reports from the previous fiscal year.
- Employee AML training logs and certification records.
- Transaction monitoring system methodology and alert resolution samples.

Our designated Anti-Money Laundering Reporting Officer (AMLRO), [Name of Officer], is available to discuss these materials or provide further demonstrations of our automated screening systems if required.

[Company Name] remains committed to maintaining full compliance with [Relevant Law/Regulation, e.g., the Bank Secrecy Act] and ensuring our financial systems are protected against illicit activity.

Please contact us at [Phone Number] or [Email Address] if you require additional information or seek to schedule a follow-up meeting.

Sincerely,

[Signature]

[Printed Name]

[Title/Position]

[Company Name]