

**Date:** [Insert Date]

**To:** [Insert Name of Regulatory Body/Board of Directors/Audit Committee]

**From:** [Insert Name], Chief Audit Executive / Head of Internal Audit

**Subject:** Internal Audit Regulatory Readiness Certification

Dear [Insert Name],

This letter serves to formally certify the regulatory readiness of [Insert Company Name]'s Internal Audit function in accordance with the requirements set forth by [Insert Regulatory Act/Framework Name].

Based on our internal assessments and testing conducted for the period ending [Insert Date], I certify that:

- **Control Environment:** Internal Audit has verified that the necessary governance frameworks and internal controls are in place and operating effectively.
- **Compliance Monitoring:** We have conducted a risk-based review of the processes intended to ensure compliance with [Insert Specific Regulations].
- **Documentation:** All required documentation, audit trails, and evidence of compliance are maintained and accessible for regulatory inspection.
- **Remediation:** Any deficiencies identified during the readiness assessment have been documented, and formal remediation plans are either completed or currently on schedule as per the attached status report.

I confirm that the Internal Audit department has maintained independence and objectivity throughout this evaluation process. We believe the organization is prepared for the upcoming regulatory examination scheduled for [Insert Date].

Should you require further information or supporting documentation regarding this certification, please contact me directly.

Sincerely,

[Signature]

[Print Name]

[Job Title]

[Company Name]