

[Date]

[Executive Name]

[Title]

[Financial Institution Name]

[Address Line 1]

[Address Line 2]

RE: Conclusion of Targeted Examination - Wealth Management Operations

Dear [Executive Name],

The [Regulatory Agency Name] has completed its targeted examination of the Wealth Management Operations at [Financial Institution Name], which commenced on [Start Date]. The scope of this review focused on [mention specific areas, e.g., fiduciary oversight, trade execution, and client reporting].

The examination was conducted to assess the effectiveness of the operational controls, risk management frameworks, and compliance with applicable laws and regulations.

Examination Results:

[Option A: No Material Findings]

Based on the work performed, no material deficiencies or significant control weaknesses were identified. The supervisory rating for this area remains unchanged.

[Option B: Findings Identified]

The examination identified certain areas requiring management attention. These findings, along with required remedial actions and implementation timelines, are detailed in the attached Examination Report.

Next Steps:

Please provide a written response by [Deadline Date] acknowledging receipt of this letter and, if applicable, outlining the steps taken or planned to address the findings identified.

We appreciate the cooperation extended by your staff during this process. Should you have any questions regarding this letter, please contact [Examiner Name] at [Phone Number/Email].

Sincerely,

[Signature]

[Name of Lead Examiner]

[Title]

[Regulatory Agency Name]

Enclosure: [Detailed Examination Report]