

DATE: [Insert Date]

TO: [Employee Name]

FROM: [Manager/Compliance Officer Name]

SUBJECT: Formal Administrative Warning: Unauthorized Disclosure of Suspicious Activity

Dear [Employee Name],

This letter serves as a formal administrative warning regarding your conduct on [Date of Incident]. It has been determined that you disclosed confidential information concerning a suspicious activity investigation or filing to an unauthorized party.

Specifically, it was reported that you [Insert brief description of the breach, e.g., informed a client or third party of an internal investigation].

This action is a direct violation of [Company Name]'s internal compliance policies and potentially breaches federal regulations regarding the confidentiality of Suspicious Activity Reports (SARs). The unauthorized disclosure of such information, often referred to as "tipping off," is a serious offense that can lead to significant legal and financial penalties for both you and the organization.

Effective immediately, you are required to:

- Cease all unauthorized communication regarding internal investigations or compliance filings.
- Review the attached Confidentiality and Anti-Money Laundering (AML) policy.
- Complete a mandatory retraining session on [Date/Time].

Please be advised that further instances of non-compliance or any additional breaches of confidentiality will result in more severe disciplinary action, up to and including termination of employment.

A copy of this warning will be placed in your permanent personnel file.

Sincerely,

[Signature]

[Printed Name and Title]

Employee Acknowledgment:

I acknowledge that I have received this warning and understand the seriousness of the violation described above.

Employee Signature: _____ Date: _____