

Date: [Date]

To: [Employee Name]

Employee ID: [ID Number]

From: [Manager/Supervisor Name]

Subject: Formal Warning: Neglect of OFAC Screening Requirements

Dear [Employee Name],

This letter serves as a formal disciplinary warning regarding your failure to perform mandatory Office of Foreign Assets Control (OFAC) screening on [Date/Period].

It has been observed that the following specific procedures were neglected:

- [Description of specific transaction or client missed]
- [Specific internal protocol that was bypassed]

Failure to perform OFAC screening is a serious compliance violation. As explained in our company policy and regulatory training, these screenings are mandatory to ensure we do not conduct business with prohibited individuals, entities, or sanctioned countries. Neglecting this duty exposes the organization to significant legal penalties, heavy fines, and reputational damage.

Required Corrective Action:

- Immediate adherence to all OFAC and AML (Anti-Money Laundering) screening protocols.
- Completion of a mandatory compliance refresher training course by [Deadline Date].
- Verification of all pending files to ensure no other screenings were missed.

Please be advised that further instances of non-compliance or neglect of these duties may 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. Please sign below to acknowledge that you have received this letter and understand the seriousness of the matter.

Sincerely,

[Manager Signature]

Employee Acknowledgment:

I acknowledge that I have received this warning and have discussed it with my supervisor.

[Employee Signature]

Date: _____