

Date: [Insert Date]

To: [Employee Name]

Employee ID: [Insert ID]

Position: [Insert Job Title]

Subject: FINAL WARNING - Breach of Client Financial Privacy

Dear [Employee Name],

This letter serves as a formal final warning regarding your conduct and performance. It has been determined that on [Insert Date], you were involved in a serious breach of our company's Client Financial Privacy Policy. Specifically, [Insert Brief Description of Incident, e.g., unauthorized access to a client's bank records/sharing financial statements with an unauthorized party].

Protecting the confidentiality of our clients' financial information is a core requirement of your role and a fundamental legal obligation of this firm. Your actions have compromised the trust of our clients and placed the company at significant legal and reputational risk.

Please be advised that this is your **final warning**. Any further violations of company policy, particularly those regarding data protection, privacy, or confidentiality, will result in immediate termination of your employment.

Effective immediately, you are required to:

- Complete mandatory retraining on Financial Privacy Laws and Internal Security Protocols by [Insert Date].
- Review and sign the attached Confidentiality Agreement.
- Adhere strictly to all company data handling procedures.

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

Sincerely,

[Your Name]

[Your Title]

[Company Name]

Employee Acknowledgment:

I acknowledge that I have received this final warning and understand the consequences of any further breaches of policy.

Signature: _____ Date: _____