

Date: [Insert Date]

To: [Employee Name]

Position: [Employee Job Title]

Department: [Department Name]

Subject: Formal Disciplinary Warning: Failure to Follow SAR Protocols

Dear [Employee Name],

This letter serves as a formal disciplinary warning regarding your failure to adhere to the company's mandatory Suspicious Activity Report (SAR) protocols. It has come to our attention that on [Date of Incident/Discovery], you failed to [identify/document/report] an incident that met the internal criteria for suspicious activity.

Compliance with anti-money laundering (AML) and SAR regulations is a legal requirement. Neglecting these procedures exposes the organization to significant legal, financial, and reputational risks. Specifically, your actions violated the following company policy: [Insert Policy Name/Section Number].

As a result of this infraction, the following disciplinary action is being taken: [Insert Action, e.g., Written Warning / Final Warning].

Required Corrective Actions:

- You must complete remedial AML and SAR compliance training by [Insert Date].
- You are required to review the current compliance manual and sign an acknowledgment of understanding.
- Your reporting activities will be closely monitored for a period of [Number] months.

Please be advised that further failure to follow compliance protocols may lead to additional disciplinary measures, up to and including termination of your employment.

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

Sincerely,

[Your Name]

[Your Title]

[Company Name]

Employee Acknowledgment:

I acknowledge that I have received this letter and understand the seriousness of the violation and the required corrective steps.

[Employee Signature]

[Date]