

Date: [Insert Date]

To: [Employee Name]

Position: [Employee Job Title]

Department: [Department Name]

Subject: First Written Warning - Breach of Client Financial Confidentiality

Dear [Employee Name],

This letter serves as a formal written warning regarding a documented breach of client financial confidentiality that occurred on [Date of Incident].

Description of the Incident:

It has been brought to our attention that you [Describe the specific action, e.g., shared a client's bank statements with an unauthorized person / left sensitive financial files unattended / accessed a client's financial profile without business justification].

Policy Violation:

This behavior is a direct violation of the company's [Name of Policy, e.g., Data Protection and Confidentiality Policy] and the non-disclosure terms of your employment contract. Protecting the financial privacy of our clients is a fundamental requirement of your role and is critical to the company's legal compliance and reputation.

Required Improvement:

Effective immediately, you are required to:

- Strictly adhere to all data handling and privacy protocols.
- Complete a mandatory retraining session on Client Financial Privacy by [Deadline Date].
- Ensure all sensitive information is secured and only discussed with authorized personnel.

Consequences:

Please be advised that this is your first formal warning. Failure to improve your conduct or any further breaches of confidentiality may lead to additional disciplinary action, up to and including the termination of your employment.

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

Sincerely,

[Signature]

[Name of Manager/HR Representative]

[Title]

Employee Acknowledgment:

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

Signature: _____ Date: _____