

## **OFFICIAL NOTICE: REGULATORY WARNING**

**Date:** [Insert Date]

**To:** [Insert Responsible Officer Name / Compliance Officer]  
[Insert Company Name]  
[Insert Address Line 1]  
[Insert Address Line 2]

**Subject: WARNING LETTER - UNTIMELY TRANSFER OF THIRD-PARTY FUNDS**

Dear [Insert Name],

This letter serves as a formal warning regarding [Company Name]'s failure to comply with established regulatory timelines for the transfer of third-party funds.

Following a recent audit/review of your records for the period of [Insert Date Range], it was determined that [Company Name] failed to remit funds to [Insert Recipient Type, e.g., Beneficiaries/Clients/Governing Bodies] within the mandatory timeframe of [Insert Number] days, as required under [Insert Relevant Law/Regulation Section].

### **Nature of Violation:**

- **Total Delayed Transactions:** [Insert Number]
- **Average Delay Period:** [Insert Number] days beyond the legal limit.
- **Total Value of Delayed Funds:** [Insert Amount and Currency].

The timely transfer of third-party funds is a critical fiduciary duty. Delays in remittance compromise the integrity of the financial system and may cause significant harm to the rightful owners of these funds.

### **Required Immediate Action:**

1. Submit a written explanation for these delays within [Insert Number] business days.
2. Provide a Remediation Plan outlining the steps taken to ensure future transfers are processed within the regulatory window.
3. Confirm that all currently outstanding funds have been remitted.

Failure to rectify these deficiencies or further instances of non-compliance may result in formal administrative action, including but not limited to, monetary fines, suspension of license, or legal proceedings.

Please acknowledge receipt of this letter immediately.

Sincerely,

[Your Name/Signature]

[Your Title]

[Regulatory Department/Agency Name]