

[Date]

[Recipient Name]

[Recipient Title]

[Compliance/Human Resources Department]

[Institution Name]

[Address]

Subject: Fiduciary Background Verification - [Asset Manager Name]

To Whom It May Concern,

This letter serves to formally request a background verification and confirmation of the fiduciary standing of [Asset Manager Name/Firm Name] in connection with [Purpose of Request, e.g., Due Diligence/New Mandate].

Please provide confirmation regarding the following points:

- **Registration Status:** Confirmation of current registration with relevant regulatory bodies (e.g., SEC, FINRA, FCA).
- **Disciplinary History:** Statement of any past or pending disciplinary actions, legal proceedings, or regulatory sanctions.
- **Fiduciary Capacity:** Confirmation that the manager acts in a fiduciary capacity and adheres to the "Prudent Expert" standard.
- **Insurance Coverage:** Verification of current Errors and Omissions (E&O) and Professional Liability insurance.
- **Conflict of Interest:** Disclosure of any material conflicts of interest that may impact the management of client assets.

Attached is a signed authorization from [Asset Manager Name] permitting the release of this information.

Please return the requested information to [Your Email/Address] by [Required Date]. If you have any questions, please contact me at [Your Phone Number].

Thank you for your prompt cooperation.

Sincerely,

[Your Signature]

[Your Printed Name]

[Your Title]

[Your Organization]