

[Your Name]
[Your Title]
[Your Company]
[Date]

[Recipient Name]
[Recipient Title]
[Recipient Company]

Subject: Professional Reference Request - [Candidate Full Name]

Dear [Recipient Name],

[Candidate Name] is currently being considered for the position of [Job Title] within our [Legal/Compliance] Department and has provided your name as a professional reference.

Given the regulated nature of the financial services industry, we would appreciate your candid assessment of the candidate's performance during their tenure at [Recipient Company] from [Start Date] to [End Date]. Specifically, we are looking for insights regarding:

- The candidate's technical knowledge of [relevant regulations, e.g., AML, KYC, SEC, MiFID II].
- Their ability to manage regulatory reporting and internal audits.
- Their judgment and integrity regarding ethical standards and risk management.
- Their communication skills when interfacing with regulatory bodies or senior management.

Is the candidate eligible for re-hire at your organization?

We understand the sensitive nature of these inquiries. All information provided will be kept strictly confidential. Please let us know if you would prefer to schedule a brief 10-minute call or if you would like to provide a written response.

Thank you for your time and assistance in our due diligence process.

Sincerely,

[Your Signature]
[Your Phone Number]
[Your Email Address]