

Subject: Probationary Period Expectations - Compliance Officer

Dear [Candidate Name],

Welcome to the team. As you begin your role as Compliance Officer, this letter outlines the specific performance expectations and milestones required for the successful completion of your [Number]-month probationary period.

During this period, your performance will be evaluated based on the following criteria:

1. Regulatory Knowledge and Application

Gain a comprehensive understanding of [Specific Regulations, e.g., GDPR, AML, SEC] and demonstrate the ability to apply these standards to our internal processes.

2. Policy Review and Auditing

Assist in conducting internal audits and reviewing company policies to ensure full alignment with current legal requirements. You are expected to identify and report at least [Number] areas of potential risk within your first [Number] days.

3. Reporting and Documentation

Maintain accurate and timely compliance logs. Ensure all required regulatory filings are prepared according to the established corporate calendar.

4. Internal Training

Develop and deliver at least one training session or briefing for staff regarding [Specific Compliance Topic] by the end of your [Number] month.

5. Communication and Collaboration

Proactively engage with department heads to address compliance queries and demonstrate professional judgment when escalating high-risk issues.

Review Schedule:

We will hold formal performance reviews at the end of Month 1, Month 2, and a final evaluation at the end of Month [Final Month]. These meetings will serve as an opportunity to provide feedback and address any areas requiring improvement.

Please note that the company reserves the right to terminate employment if performance standards are not met during this time.

We look forward to your contributions to our compliance department.

Sincerely,

[Your Name]

[Your Title]

[Company Name]

Acknowledgment:

I acknowledge that I have received and understood the expectations outlined above.

[Candidate Signature]

Date: _____