

Date: [Insert Date]

To: [Recipient Name/HR Department]

Company: [Former Employer Name]

Address: [Former Employer Address]

Subject: Regulatory Reference Request - [Candidate Full Name]

Dear [Contact Name],

In accordance with financial services regulatory requirements and industry compliance standards, [Current Company Name] is conducting a fitness and propriety assessment for **[Candidate Full Name]** (Date of Birth: [DOB], National Insurance/ID Number: [ID Number]).

The individual has applied for the role of **[Job Title]**, which is a regulated position. We understand they were employed by your organization from **[Start Date]** to **[End Date]**.

Please provide the following information as required by regulatory compliance:

- Confirmation of dates of employment and positions held.
- Details of any disciplinary action taken regarding breaches of conduct rules or ethical standards.
- Information regarding any ongoing investigations into the individual's conduct.
- Assessment of the individual's honesty, integrity, and reputation during their tenure.
- Reason for leaving the organization.

Attached to this letter is a signed authorization form from the candidate consenting to the release of this information.

Please return the completed reference to **[Email Address]** or via mail to the address listed below by **[Due Date]**. If you require further clarification, please contact **[Compliance Officer Name]** at **[Phone Number]**.

Thank you for your cooperation in ensuring our compliance with financial services standards.

Sincerely,

[Signature]

[Name of Sender]

[Title]

[Current Company Name]