

[Company Letterhead]

[Date]

[Recipient Name]

[Recipient Title]

[Regulatory Body/Organization Name]

[Address]

Subject: Regulatory Compliance Governance Representation Letter

Dear [Name/Title],

This representation letter is provided in connection with the evaluation of [Company Name]'s compliance governance framework for the reporting period ending [Date].

We confirm, to the best of our knowledge and belief, the following representations:

- **Responsibility:** Management acknowledges its responsibility for the design, implementation, and maintenance of internal controls to ensure compliance with [Specific Laws/Regulations].
- **Transparency:** We have made available to you all relevant financial records, compliance reports, and minutes of meetings held by the Board of Directors and Compliance Committees.
- **Adherence:** The company has complied, in all material respects, with the provisions of all applicable laws, regulations, and binding industry codes.
- **Disclosure of Non-Compliance:** There have been no instances of non-compliance, or suspected non-compliance, with laws and regulations whose effects should be considered for disclosure or as a basis for recording a loss contingency.
- **Internal Audit:** Our internal audit function has independently verified that the compliance framework is operating effectively as of the date of this letter.
- **Fraud and Irregularities:** We have no knowledge of any fraud or suspected fraud affecting the entity involving management, employees with significant roles in internal control, or others where the fraud could have a material effect on regulatory standing.

We confirm that these representations are made in good faith and after making appropriate inquiries of officials within the organization with relevant knowledge.

Sincerely,

[Signature]

[Printed Name]

Chief Executive Officer

[Signature]

[Printed Name]

Chief Compliance Officer / General Counsel