

Investment Compliance Audit Findings

Date: [Insert Date]

To: [External Auditor's Name]

From: [Your Company Name]

Subject: Investment Compliance Audit Findings

Dear [External Auditor's Name],

We are pleased to provide you with the findings from our recent investment compliance audit conducted for the period ending [Insert Date]. The purpose of this audit was to assess conformity with applicable laws and regulations, as well as adherence to internal policies and procedures.

Summary of Findings

1. **Finding 1:** [Description of finding 1, including implications and recommendations].
2. **Finding 2:** [Description of finding 2, including implications and recommendations].
3. **Finding 3:** [Description of finding 3, including implications and recommendations].

Action Plan

In response to the findings, we will implement the following actions:

- [Action Item 1]
- [Action Item 2]
- [Action Item 3]

We appreciate your guidance and support in ensuring our compliance with all applicable investment regulations. Please feel free to reach out if you require further details or clarification regarding these findings.

Thank you for your attention to this matter.

Sincerely,

[Your Name]

[Your Position]

[Your Company Name]

[Your Contact Information]