

# Investment Compliance Audit Findings

Date: [Insert Date]

To: [Recipient Name]

From: [Your Name]

Subject: Audit Findings and Policy Updates

Dear [Recipient Name],

Following the recent investment compliance audit conducted on [Audit Date], we have identified several key findings that require immediate attention and prompt action for policy updates. The details are as follows:

## Audit Findings

1. **Finding 1:** [Description of finding]
2. **Finding 2:** [Description of finding]
3. **Finding 3:** [Description of finding]

## Recommended Policy Updates

1. **Policy Update 1:** [Description of recommended update]
2. **Policy Update 2:** [Description of recommended update]
3. **Policy Update 3:** [Description of recommended update]

We recommend scheduling a meeting to discuss these findings in detail and outline the steps necessary for implementation of the proposed updates. Please let us know your availability for this discussion.

Thank you for your attention to this matter.

Sincerely,

[Your Name]

[Your Position]

[Your Company]