

# Investment Compliance Audit Findings

Date: [Insert Date]

To: [Risk Management Team/Specific Recipient]

From: [Your Name/Department]

Subject: Findings from Investment Compliance Audit

Dear [Recipient Name],

We have completed the recent audit of the investment compliance protocols within our organization. Below are the key findings and recommendations that require your attention:

## Findings

1. **Finding 1:** [Description of finding, e.g., Non-compliance with investment policy.]
2. **Finding 2:** [Description of finding, e.g., Inadequate documentation of investment decisions.]
3. **Finding 3:** [Description of finding, e.g., Lack of regular monitoring of compliance risks.]

## Recommendations

1. [Recommendation related to Finding 1]
2. [Recommendation related to Finding 2]
3. [Recommendation related to Finding 3]

We suggest that the risk management team reviews these findings and works on implementing the recommendations at your earliest convenience. Please feel free to reach out if you need any clarification or assistance regarding these findings.

Thank you for your attention to this matter.

Sincerely,

[Your Name]  
[Your Position]  
[Your Company]