|  |  |
| --- | --- |
| **Client Due Diligence Form** |  |
| **Client Details** |
| Name: |  | DOB: |  |
| Address: |  |
|  |  |
|  |  |
| Matter: |  |

|  |
| --- |
| **Client Identification** |
|

|  |
| --- |
|[ ]  I have identified the person(s) named above, and verified their identity on the basis of documents or information from a reliable and independent source. **I attach copies.** |

***or***

|  |
| --- |
|[ ]  The client’s identity is already known to, and has been verified by, the firm |

 |

|  |
| --- |
| **Other Clients or Beneficial Owners** |
|

|  |  |
| --- | --- |
| ☐ | I have made enquiries and confirm that the person(s) instructing us act(s) entirely on their own account. |

***or***

|  |  |
| --- | --- |
| ☐ | I have verified that the person instructing us is authorised so to do and completed Part 2 of this form to give details of the ultimate client and beneficial owners. |

 |

|  |
| --- |
| **Money Laundering Risk Assessment** |
| ☐ | I have made enquiries and am satisfied that neither the client nor any beneficial owner is a politically exposed person, nor a family member or known close associate of such a person. |
| ☐ | I have assessed and obtained information on the purpose and intended nature of the business relationship or transaction.  |
| ☐ | If acting for a buyer I have established the source of funds for the transaction. |
| I have obtained information on the purpose and intended nature of our business relationship with the client. I currently assess the money laundering risk as:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ☐ | **Low** | ☐ | **Medium** | ☐ | **High** |

The main factors in my risk assessment are: |
|  |  |  |
|  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Signed:** |  | **Date:** |  |

|  |  |
| --- | --- |
| **Client Due Diligence Form****Part 2: To be completed if the person instructing us does not act entirely on their own account** |  |

|  |
| --- |
| **Who is the client?** Give the particulars of our ultimate client (as specified in the engagement letter |
| Name: |  | DOB: |  |
| Address: |  |
|  |  |
|  |  |

|  |
| --- |
| **Client Identification** |
|

|  |
| --- |
|[ ]  I have identified the person(s) named above, and verified their identity on the basis of documents or information from a reliable and independent source. **I attach copies** |

***or***

|  |
| --- |
|[ ]  The client’s identity is already known to, and has been verified by, the firm |

 |

|  |
| --- |
| **Beneficial owners** |
|

|  |
| --- |
|[ ]  I have made enquiries and confirm that there is no beneficial owner other than the client and the person instructing us. |

***or***

|  |
| --- |
|[ ]  There is/are the following beneficial owner(s). Give particulars below. |

 |
| Full name(s) or description: |  |
| Nature of role or interest, address, date of birth: |  |

|  |
| --- |
| **Evidence of Beneficial Owners** |
|

|  |
| --- |
|[ ]  I have identified the beneficial owner(s) described above, and taken reasonable measures to verify their identity so that I am satisfied that I know who the beneficial owner is, including taking reasonable measures to understand the ownership and control structure of any trust, company or other arrangement. **I attach copies of any relevant evidence.** |

***or***

|  |
| --- |
|[ ]  The identity of the beneficial owner(s) is already known to, and has been sufficiently verified by, the firm. |

 |

|  |  |  |  |
| --- | --- | --- | --- |
| **Signed:** |  | **Date:** |  |