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| --- | --- | --- | --- | --- |
| **Client Due Diligence Form**  ***(Individuals)***  **To be used only for clients (including joint clients) who are individuals, instructing the firm on their own behalf.** | | | |  |
| **Client Details** | | | | |
| **Name** |  | **DoB** |  | |
| **Address** |  | | | |
|  |  | | | |
|  |  | | | |
| **Matter** |  | | | |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Evidence of Identity** | | | | | | |
| |  |  | | --- | --- | |  | 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 checks** | | | | | | |
| |  |  | | --- | --- | |  | I have made **suitable enquiries**, including where appropriate as to the source of funds to be used, to assess money laundering risk | |  | I am satisfied that the client is not a **politically exposed person**, nor a family member or known close associate of a PEP | |  | The client(s) is/are **instructing us directly**. I am satisfied that there is **no other beneficial owner** for the purposes of these checks | |  | There is **no need for a sanctions check** in this case | | | | | | | |
| **Money Laundering Risk Assessment** | | | | | | |
| I assess the current money laundering risk as: | | | | | | |
|  | **Low** | | | | | |
|  | **Medium** | | | | | |
|  | **High** | | | | | |
|  | | |  | |  | |
| **Signed** | |  | | **Date** | |  |

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| **Notes for guidance**   1. **Evidence required:** Ask for either a current photocard driving licence, or passport. 2. **Client already known:** If we have acted for this person previously, check we hold evidence of identity on file. You must be sure that it is the same person. If in doubt, obtain fresh evidence. 3. **PEP:** A PEP is someone entrusted with prominent public functions other than as a middle ranking or more junior official. You may not accept a PEP as a client without approval from the firm’s MLRO. 4. **Sanctions:** If the client or third party involved in a financial transaction has a link to a foreign jurisdiction where government sanctions might be in place, notify the MLRO who will decide what checks are appropriate. 5. **Risk assessment:** This should reflect both the circumstances of the client and the nature of the work we are being instructed to undertake. In high-risk cases seek approval from the MLRO before proceeding. |