

Client name:		Date:		Ref.:	
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**Money Laundering – New Client Checklist**

	Yes	No	N/A	Initials
1. Are we satisfied that it is a bona fide business operation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
2. Are there any concerns regarding the integrity of the owners, directors and management of the entity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
3. Have we established the ultimate ownership of the entity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
4. If the client has been introduced by a principal or staff member of the firm, or a long-standing client: do we have written confirmation from the introducer of the client's identity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
5. Have we written for references from other sources? Specify:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
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6. Have we obtained and copied for file specific proof of identity (e.g. passport or photo driving license) for all relevant parties? <i>(Complete the details on page 2)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
7. Have we obtained and copied for file specific proof of address for all relevant parties? <i>(Complete the details on page 2)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
8. In respect of corporate clients have we carried out a company search?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

Where a "no" answer has been given to any of the questions and the appointment has been accepted, detail below the action taken and reasons, where necessary:	
_____	Prepared by: _____ Date
_____	Principal _____ Date

Means of confirming identity and address deemed acceptable under the firm's money laundering procedures are set out on page 3.

**No work whatsoever should be undertaken for the client until both identity and address have been confirmed for all relevant parties.**

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**Money Laundering – New Client Checklist (continued)**

**Confirmation of Identity and Address**

*List below all directors, shareholders, partners, members, trustees, settlors, beneficiaries etc.*

<i>Name</i>	<i>Identity confirmed Y/N</i>	<i>Specify how ID confirmed</i>	<i>Is a copy on file?*</i>	<i>Address confirmed Y/N</i>	<i>Specify how address confirmed</i>	<i>Is a copy on file?*</i>

\* If a copy is not on file it is essential that a note be made of where a copy may be obtained or how the confirmation of address or identity may be re-performed.

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**Money Laundering – New Client Checklist (continued)**

*One item should be obtained and copied from the Identification list and one item from the Address list below. You should not use the same item to confirm both identity and address.*

**Acceptable Means of Confirming Identity**

- Current signed Passport
- Current UK photocard Driving Licence (Provisional or Full)
- Current Full UK Driving Licence (old style paper version)
- Current EU National Identify Card
- Other recognised identity card such as an Armed Forces Identity Card, Police Warrant Card or Photo Student Identification/Matriculation Card (from a recognised university or college)
- Construction Industry - Tax exemption certificate with photograph of holder (forms CIS4, CIS6, SC60)
- NHS Medical Card (persons 20 years old and under)
- Birth Certificate (persons 20 years old and under)
- Firearms or shotgun certificate
- Inland Revenue tax notification (not P45 or P60)
- Benefit Book e.g. Pension Book of Benefits Agency original notification letter
- Photo Credit/Debit card issued by a UK/EU bank
- Disabled Driver's Pass
- OAP Travel Pass
- National Insurance Card supported by payslip

**Acceptable Means of Confirming Address**

- Utility bill (within last 6 months)
- Current UK photocard Driving Licence (Provisional or Full)
- Current Full UK Driving Licence (old style paper version)
- Bank/Credit Union/Building Society/Credit Card statement or passbook (within last 6 months)
- Council tax bill or payment book (within last 12 months)
- Recent mortgage statement (within last 12 months)
- Current local council rent card or tenancy agreement (private tenancy agreements are not acceptable)
- Benefit Book e.g. Pension Book of Benefits Agency original notification letter
- Vehicle licence renewal notification (V11)
- Vehicle registration document (V5)
- Home Insurance certificate or policy
- Motor Insurance certificate or policy
- TV licence renewal notification
- Electoral roll
- Telephone directory
- Credit reference agency
- Company search