

Client Due Diligence Record

For use where the client is an individual or partner in a partnership

Ref:

1. Client Name:

2. Client Date of Birth:

3. Nature of Client's business:

4. Client since:

Before any work is undertaken, members should verify the identity of the potential client by reliable and independent means. Members should attach to this record sheet copies of such evidence. If any person named on this form is not an individual (eg a company or trust) the non-individual form should be completed in respect of them and annexed to this form.

Client is an individual	What independent document shows this on file?
Name of Client	
Address	
Trading Address (if different)	
Identity of person instructing you (if not client)	
Authority of person instructing you	
Address of person instructing you	
Identity of the beneficiary of the work or the person controlling the assignment (if not client)	
Address of the beneficiary of the work	
Nature and purpose of work (the work you do for the client)	
Detail of clients main source of funds	

Type of Identification		
	Yes/No Tick	Verification & Date
Proof of Identity Passport Driving License Photo/Paper Birth Certificate NINO Other - Please state which		
Name of service provider/agent e.g electronic database, providing identification (if appropriate)		
Where reliance on customer due diligence is provided by a person or firm regulated under Part 1 of Schedule 3, Money Laundering Regulations 2007 Do you have confirmation on the firm's letterhead that states that you are to rely on their due diligence?		

Name of MLRO:	
Name of Person completing this record sheet	

For completion by the MLRO only	
Date reviewed by MLRO:	
Signature of MLRO:	

