

Client Due Diligence Risk Assessment Form

Matter:	{ MERGEFIELD client_no }\{ MERGEFIELD matter_no }
Fee Earner:	{ MERGEFIELD CALCULATION_FEE_EARNER_DESCRIPTION }
	{ IF { MERGEFIELD CLI_CO_ADD_INFO_CLI_IS_CO } <> "Yes" }
Client 1 Full Name:	{ MERGEFIELD CLI1_ADD_INFO_FW_CLI1_TITLE \f" " }\{ MERGEFIELD "CLI1_ADD_INFO_FW_CLI1_FNAME" \f" " }\{ MERGEFIELD "CLI1_ADD_INFO_FW_CLI1_MNAME" \f" " }\{ MERGEFIELD "CLI1_ADD_INFO_FW_CLI1_SNAME" }
Client 1 Date of Birth:	{ MERGEFIELD CLI1_ADD_INFO_FW_CLI1_DOB }
Client 1 NI Number:	{ MERGEFIELD CLI1_ADD_INFO_FW_CLI1_NI }
Client 1 Full Address:	{ MERGEFIELD CLI1_ADD_INFO_FW_CLI1_ADD }
Client 1 is a PEP:	{ MERGEFIELD CLI1_ADD_INFO_CLI1_PEP }
Sanctions List Checked:	{ MERGEFIELD CLI1_ADD_INFO_CLI1_SANCTIONS }
<i>For additional clients please see separate sheet" }\{ IF { MERGEFIELD CLI_CO_ADD_INFO_CLI_IS_CO } = "Yes" "</i>	
Client Company Entity Full Name:	{ MERGEFIELD "LINKNAME_SURNAME_1" }
Company Registration Number:	{ MERGEFIELD CLI_CO_ADD_INFO_CLI_CO_REG }
Company Full Registered Address:	{ MERGEFIELD CLI_CO_ADD_INFO_CLI_CO_REG_ADD }

For detailed company/entity CDD please see Company CDD Verification Form"

Risk Assessment

Client Risk Assessed as:
<u>Reasons for your assessment:</u>
<p>{ IF { MERGEFIELD CL_CDD_CDD_CL_ENG_WAL } = "No" "Client is outside of the UK/Wales." "Client is based in the UK/Wales" }</p> <p>{ IF { MERGEFIELD CL_CDD_CDD_CL_GEO_RISK } = "Yes" "There are the following Geographic risks associated with the client:" "There are no Geographic risks associated with the client." }</p> <p>{ IF { MERGEFIELD fssm_PEP_PRES } = "Yes" "One or more client is a PEP - You may not accept a PEP as a client without approval from the firm's MLRO: " "" }</p> <p>{ IF { MERGEFIELD fssm_PEP_PRES } = "Yes" "{ MERGEFIELD "CLI1_ADD_INFO_FW_CLI1_TITLE" \f" " }\{ MERGEFIELD "CLI1_ADD_INFO_FW_CLI1_FNAME" \f" " }\{ MERGEFIELD "CLI1_ADD_INFO_FW_CLI1_MNAME" \f" " }\{ MERGEFIELD "CLI1_ADD_INFO_FW_CLI1_SNAME" }\{ MERGEFIELD CLI1_ADD_INFO_FW_CLI1_DOB }" "" }</p> <p>{ IF { MERGEFIELD fssm_PEP_PRES } = "Yes" "{ MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_TITLE" \f" " }\{ MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_FNAME" \f" " }\{ MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_MNAME" \f" " }\{ MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_SNAME" }\{ MERGEFIELD CLI2_ADD_INFO_FW_CLI2_DOB }" "" }</p> <p>{ IF { MERGEFIELD fssm_PEP_PRES } = "Yes" "{ MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_TITLE" \f" " }\{ MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_FNAME" \f" " }\{ MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_MNAME" \f" " }\{ MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_SNAME" }\{ MERGEFIELD CLI3_ADD_INFO_FW_CLI3_DOB }" "" }</p> <p>{ IF { MERGEFIELD fssm_PEP_PRES } = "Yes" "{ MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_TITLE" \f" " }\{ MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_FNAME" \f" " }\{ MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_MNAME" \f" " }\{ MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_SNAME" }\{ MERGEFIELD CLI4_ADD_INFO_FW_CLI4_DOB }" "" }</p> <p>{ IF { MERGEFIELD fssm_PEP_PRES } = "Yes" "{ MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_TITLE" \f" " }\{ MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_FNAME" \f" " }\{ MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_MNAME" \f" " }\{ MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_SNAME" }\{ MERGEFIELD CLI5_ADD_INFO_FW_CLI5_DOB }" "" }</p>

Fee Earners Signature:	Date:
Supervisors Signature (If Needed):	Date:

{ IF { MERGEFIELD CLI_CO_ADD_INFO_CLI_IS_CO } <> "Yes" }

Additional Clients{ IF { MERGEFIELD CLI2_ADD_INFO_FW_CLI2_SNAME } <> "" }

Client 2 Full Name:	{ MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_TITLE" \f" " } MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_FNAME" \f" " } MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_MNAME" \f" " } MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_SNAME" }
Client 2 Date of Birth:	{ MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_DOB" }
Client 2 NI Number:	{ MERGEFIELD "CLI2_ADD_INFO_FW_CLI2_NI" }
Client 2 Full Address:	{ MERGEFIELD CLI2_ADD_INFO_FW_CLI2_ADD }
Client 2 is a PEP:	{ MERGEFIELD CLI2_ADD_INFO_CLI2_PEP }
Sanctions List Checked:	{ MERGEFIELD CLI2_ADD_INFO_CLI2_SANCTIONS }

"" } IF { MERGEFIELD CLI3_ADD_INFO_FW_CLI3_SNAME } <> "" }

Client 3 Full Name:	{ MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_TITLE" \f" " } MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_FNAME" \f" " } MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_MNAME" \f" " } MERGEFIELD "CLI3_ADD_INFO_FW_CLI3_SNAME" }
Client 3 Date of Birth:	{ MERGEFIELD CLI3_ADD_INFO_FW_CLI3_DOB }
Client 3 NI Number:	{ MERGEFIELD CLI3_ADD_INFO_FW_CLI3_NI }
Client 3 Full Address:	{ MERGEFIELD CLI3_ADD_INFO_FW_CLI3_ADD }
Client 3 is a PEP:	{ MERGEFIELD CLI3_ADD_INFO_CLI3_PEP }
Sanctions List Checked:	{ MERGEFIELD CLI3_ADD_INFO_CLI3_SANCTIONS }

"" } IF { MERGEFIELD CLI4_ADD_INFO_FW_CLI4_SNAME } <> "" }

Client 4 Full Name:	{ MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_TITLE" \f" " } MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_FNAME" \f" " } MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_MNAME" \f" " } MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_SNAME" }
Client 4 Date of Birth:	{ MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_DOB" }
Client 4 NI Number:	{ MERGEFIELD "CLI4_ADD_INFO_FW_CLI4_NI" }
Client 4 Full Address:	{ MERGEFIELD CLI4_ADD_INFO_FW_CLI4_ADD }
Client 4 is a PEP:	{ MERGEFIELD "CLI4_ADD_INFO_CLI4_PEP" }
Sanctions List Checked:	{ MERGEFIELD "CLI4_ADD_INFO_CLI4_SANCTIONS" }

"" } IF { MERGEFIELD CLI5_ADD_INFO_FW_CLI5_SNAME } <> "" }

Client 5 Full Name:	{ MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_TITLE" \f" " } MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_FNAME" \f" " } MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_MNAME" \f" " } MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_SNAME" }
Client 5 Date of Birth:	{ MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_DOB" }
Client 5 NI Number:	{ MERGEFIELD "CLI5_ADD_INFO_FW_CLI5_NI" }
Client 5 Full Address:	{ MERGEFIELD CLI5_ADD_INFO_FW_CLI5_ADD }
Client 5 is a PEP:	{ MERGEFIELD "CLI5_ADD_INFO_CLI5_PEP" }
Sanctions List Checked:	{ MERGEFIELD "CLI5_ADD_INFO_CLI5_SANCTIONS" }

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