

Client Identity Checklist

The following checklist must be completed before accepting any new client.

1. CLIENT NAME(S) AND CONFIRMATION OF IDENTITY

WHO IS/ARE THE FIRM'S CLIENT(S)?¹ HOW DID YOU CONFIRM THEIR ID?

| Legal name of individual or corporation | Address | Confirmation of ID |
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WHERE THE FIRM ACCEPTS MORE THAN ONE CLIENT, CONFIRM WITH THE CLIENTS:

Should separate files be opened for each client? (Y/N) Yes No

Who should receive communications?

Who is authorised to give instructions?

Who is responsible for payment of bills?

2. REQUIREMENT FOR SECONDARY CONFIRMATION OF IDENTITY

DO ANY OF THE FOLLOWING RISK FACTORS FOR INCORRECTLY IDENTIFYING A CLIENT EXIST?

No opportunity for face to face meeting (Y/N) Yes No

Complexity or confusion over who is in fact the client (Y/N) Yes No

Client requests details on firm's financial arrangements before meeting (e.g. wants to deposit money into firm's trust account) (Y/N) Yes No

IF YES FOR ANY, A SECONDARY FORM OF IDENTITY CHECK IS REQUIRED AND THE TABLE BELOW COMPLETED.²

| Client | Form of identification |
|--------|------------------------|
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3. NON REPRESENTATION

Have all related parties who might think the firm will represent them, whom we will not represent, been informed of this fact in writing?³ (Y/N) Yes No

NOTES:

- Where multiple parties have potentially differing interests in the matter, refer to Section 2 - conflicts of interest.
- Also consider any statutory Verification of Identity requirements for property transactions etc.
- See Checklist for Declining Matter