**Company Information (Private/Unlisted)**

**Company Information**

|  |  |
| --- | --- |
| Registered Name1 |  |
| Previous Name1 |  |
| Trading As1 |  |
| Registered Address |  |
| Previous Address |  |
| Operational Address |  |
| Contact address |  |
| Incorporation Number |  |
| Date of Incorporation |  |
| Country of Incorporation2 |  |
| Entity Type |  |
| Nature of Business |  |
| Corporate Structure3 |  |
| Contact Name |  |
| Contact Telephone Number |  |
| Contact Email Address |  |

**Additional Information**

|  |  |
| --- | --- |
| Geographical Location2 |  |
| Face to Face or Remote4 |  |
| Services Required5 |  |

**Client Activity6**

|  |  |
| --- | --- |
| Type of Transactions |  |
| Volume |  |
| Estimated Value |  |

***Repeat as required***

**Beneficial Owners (individuals)7**

|  |  |
| --- | --- |
| Full Name |  |
| Residential Address |  |
| Date of Birth |  |
| Position/Shareholding |  |

**Beneficial Owners (entities)7**

|  |  |
| --- | --- |
| Entity Name |  |
| Registered Address |  |
| Position/Shareholding |  |

**Notes**

1. Understanding the name of your client including any previous or trading as names is important for obtaining a clear picture on you client. This will also be useful should you need to undertake any further research.
2. The location in which your client is present and operates may be a factor in increasing the risk they bring. In some countries the approach to anti-money laundering and the prevention of bribery and corruption is not sufficiently enforced. This could result in a potential for criminal funds to filter through your business.
3. Parent companies and/or subsidiaries may operate in a higher risk jurisdiction. If you are providing a service that could extend to these other parties you may wish to understand a little more.
4. The method in which a client is interacted with will adjust the associated risk. Having a relationship where a client is never met face to face is at higher risk for fraud and steps should be taken to minimise the risk.
5. It may be that your business only provides a single core service and therefore the level of risk will be consistent. However, where different product or services are offered you may wish to adapt the level of due diligence undertaken based on this risk.
6. Understanding what will be normal for your client will enable you to identify when something abnormal happens. There may be a valid reason for changes in your client’s activity such as a significant increase in the amounts going through your business. However, it could be an indicator to a change in the risk the client brings potentially warranting a higher level of due diligence.
7. Beneficial Owners are any individual or entity who holds over 25% of share or voting rights, any corporate body that exercises control over the management of the company and directors.