

Customer Due Diligence (CDD)/ Know Your Client form - individual

Client name	File No.	Ref.
	Prepared by	Date

The following information (where applicable / relevant to understanding the client) or cross-reference to the relevant files if information is already recorded elsewhere.

Client's date of birth	
Hong Kong identity number	
Other national identity number and country concerned	
Client's home address	
Client's home telephone number	
Client's mobile number	
Client's email address	
Client's employer / business	
Client's business address (if applicable)	
Client's business telephone number (if applicable)	
Client's tax reference	
Client's country of birth	
Client physically present for identification	Yes/ No
What are the proposed services required from us?	
What are the client's main sources of income and capital?	
Does the client have any large, complex or unusual transactions and do any transactions favour anonymity?	

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<p>What is the client's marital status / history</p> <p>Children / other dependants (specify names, date of birth and sources of income)</p>
<p>Geographical connections (personal and business)</p>
<p>Other relevant information (e.g. past financial difficulties, regulatory issues, politically exposed person (PEP) or close family or known associate of a PEP)</p>

Conclusion		Comments
AML risk assessment	Low / Normal / High	
Frequency of monitoring	Annual/Other	
Standard procedures acceptable?	Yes / No	
Other comments		

Review: reviewed by	Date	CDD / risk profile up to date / appropriate?	Comments
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	
		Yes / No / Updated	