

Customer Due Diligence (CDD)/ Know Your Client form – entity

Client name	File No.	Ref.
	Prepared by	Date

Complete 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 trading name (if different)	
Client's full principal trading address	
Client's business telephone number	
Client's registered office (if different / applicable)	
Legal structure of the business / entity (e.g. sole trader, partnership, limited company)	
When was the business / entity formed?	
Company number or other registration number (if applicable)	
State the law to which the entity is subject (i.e. Companies Ordinance etc)	
Where is the entities constitution set out? (Obtain copy for permanent file)	
Applicable tax registration numbers	
Client's year end	
Principal of the entity present for identification?	Yes/ No
What are the proposed services required from us?	

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List (or attach a list of) the names of those who control the business / entity (e.g. directors, partners, trustees etc).

List (or attach a list of) the names of the senior persons responsible for the day to day operation of the entity

List (or attach a list of) the names of those who own the business / entity or any other beneficial owners.

If the beneficial owner is a legal entity or a partnership detail the client's ownership structure and who are the ultimate beneficial owners.

What is the nature of the client's business / activities?

What are the key sources of income and capital?

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<p>What is the scale of the business' / entity's expected transactions:</p> <p>(a) Expected turnover / income:</p> <p>(b) Typical transaction values:</p> <p>(c) Expected profit / surplus:</p>
<p>Geographical connections (group companies, branches, major customers or suppliers)</p>
<p>Other relevant information</p>

Conclusion		Comments
Risk assessment	Low / Normal / High	
Standard procedures acceptable?	Yes / No	
Frequency of ongoing monitoring	Annual/Other	
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	