## **Estate Agency Custome**



## Risk Assessment Form

Full name Date of Birth Home Address Address of Property to be sold (if

#### **Evidence of name and address**

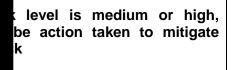
(Tick to confirm evidence received an

Evidence of name	<b>&lt;</b>
Evidence of address	<<>>

B below)

## **Initial Risk Assessment**

Risk level (circle relevant level)	Reasons for conclus level
Low	
Medium	
High	



#### **Interim Risk Assessment**

Risk level (circle relevant level)	Reasons for conclus level
Low	
Medium	
High	

level is medium or high, be action taken to mitigate

1

#### **Final Risk Assessment**

Risk level (circle relevant level)	Reasons for conclus level
Low	
Medium	
High	

If the risk is assessed as high at act for the customer.

#### **Certification**

- I have verified the identity o customer
- I have not verified the identity of customer
- I have seen the original document
- Copies of the customer's docur are attached to this form

Any photographs in the docur bore a good likeness to the custor

Name of person giving this certific

Position

Company and branch (if applicable

Telephone number

Signature

Date

S

A

level is medium or high, be action taken to mitigate k

to the MLRO before continuing to

erifying customer identity: <<>>

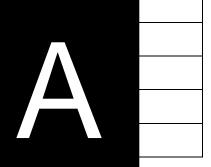
P

#### (A) Evidence of name (complete



#### **Current full signed passport**

Passport number	<<>>>
Country code	<<>>>
Place of birth	<<>>>
Date of birth	<<>>>
Expiry date	<<>>>



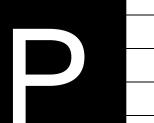
#### Current UK photo card driving I

Licence number	<<>>
Date of birth	<<>>
Expiry date	<<>>>



#### **National Identity Card**

Unique number/reference	<b>&lt;&lt;&gt;&gt;</b>
Country of origin	<b>*</b>
Date of birth	<b>&lt;&lt;&gt;&gt;</b>
Expiry date	<<>>



#### **Firearms Certificate**

Certificate number	<<>>>
Date of birth	<<>>>
Expiry date	<<>>>



#### n Ireland

#### **Identity card issued by the Elec**

Card number	<<>>>
Date of Birth	<<>>>
Expiry date	<<>>

#### (B) Evidence of ac



#### the tables below)

#### Current UKphoto card driving li

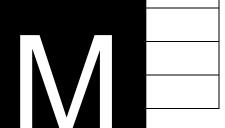
(Cannot be used here if already used

Licence number	< <b>&gt;&gt;</b>
Current address?	Yes / No (circle
Date of issue	<<>>>



#### Current year's council tax bill

Reference/account number	<<>>
Current address?	Yes
Local authority	<<>>
Document date	<<>>



#### **Benefits Entitlement Letter**

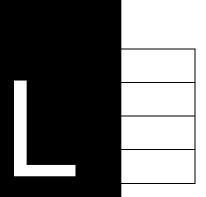
(Cannot be used here if already used

Reference/account number	<b>*</b>
Current address?	Yes
Issuing authority	<<>>
Document date	<<>>



#### **Tenancy agreement**

Reference/account number	<<>>
Current address?	Yes
Local authority	<<>>
Document date	<<>>



### Most recent mortgage statemen

Reference/account number	<b>*</b>
Current address?	Yes
Lender	<<>>
Document date	<<>>

#### Bank or building society statem

Reference/account number	<<>>
Current address?	Yes
Institution name	<<>>
Document date	<<>>

#### Utility bill (excluding mobile pho

Reference/account number	<b>*</b>
Current address?	Yes
Utility company	<<>>
Document date	<<>>

# Exar

ivity

consider on each transaction to sk'. You should also consider the ustive but includes:

assess whether the transaction is Firm Wide Risk Assessment, This

The examples of suspicious activ

**New Customers:** 

1. Have you met your custom

2. Is your customerreluctant t

3. Are either party to the trans

4. Have intermediaries been

Has false information been

6. Is there an apparent reaso placed to act?

7. Are there complex compar true owner?

8. Are any of the individuals exposure to the possibility

9. Are there multiple properti other sales?

10. <<Other>>

**Existing Customers:** 

1. Is the transaction different

2. Is the transaction being ca person?

3. What is the value of the disclosing the source of ful

4. Have any monies been pa with the customer?

5. Are you being instructed to in a short space of time?

6. <<Other>>

Transaction:

Are either party to the trans

2. Are funds being sent abro third party?

Has the property been inst

4. Are there any late changes

identity and/or source of funds?

high risk' third country?

action?

customer's identity?

uld another firm have been better

ich make it difficult to identify the

I/or locations that carry a higher

ent professionals dealing with the

s of the customer?

harket value with an unconnected

lly large and is the customer not

does not appear to be connected

s, especially of the same property

e to be carried out quickly?

tination and/or to an unconnected

action?

- 5. Is the value of the prope market values)?
- 6. Are we being asked to hol no apparent reason which
- 7. Are funds being paid in par
- 8. Are multiple payments beir
- 9. Are there unusual sources from an unknown/overseas
- 10. Are both or either party not
- 11. Is one party reluctant to us
- 12. Is the transaction unneces
- 13. Is the counterparty known
- 14. <<Other>>

pove <<add sum>>] especially for

y within the top 5% of the local

rrency?

ank accounts?

use of complex loans, mortgage

al obligations?

for the conveyancing process? ne parties are hoping to achieve? al owner?