**AML/CTF RISK CLASSIFICATION WORKSHEET**

**Date of assessment:** ........./........./..........

**Client Name:** ..........................................................................

**Customer**  **type:** *Representative to check the relevant checkbox.*

Individual Partnership Government body

Company Association Politically Exposed Person

Trustee Registered co-operative Beneficial owner

Depending on the customer type, mitigate the risk by obtaining the appropriate amount of identification and verification of the customer as per the Licensee’s check lists.

Are there any irregularities in the customer type? (i.e. a complicated trust structure where it is difficult to identify the beneficial owner of the investment).

Yes No

Where the answer is “Yes” the representative must increase the level of risk classification, collect and verify additional information than that required in the Licensee’s check list and confirm the source of fund to mitigate the risk.

**Method of service delivery**: Has there been face to face contact with the client?

Yes No

Where the answer is “No” the representative must increase the level of risk classification and collect and verify addition information than that required in the Licensee’s check list to mitigate the risk. Verification should be undertaken using either certified true copies or documents obtained from independent sources such as online.

**Type of designated service:** Are you merely ‘arranging’ for a designated service to be provided?

Yes No

**Foreign jurisdictions:** Are youarranging a service through a foreign product provider?

Yes No

**RISK CLASSIFICATION** LOW MEDIUM HIGH

**Representative** ............................................. **Signature** .............................................

The Representative is to attach the Licensee’s check list, the identification information collected and copies of the verification documents used.