



Sole Trader

New Client Information Check List



General Information

Client Name:

Business / Home Address:

Business/ Employer Address	Home Address
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Telephone / Email:

Date/Place of Birth:

Business Activity:

Important Dates:

Commencement	Year End
<input type="text"/>	<input type="text"/>

UTR / NI Number:

Unique Tax Reference	National Insurance
<input type="text"/>	<input type="text"/>

PAYE Scheme? Yes No Tax District

HD to setup / manage PAYE ? Yes No

PAYE Scheme No:

Accounts Office Ref:

Current Administrators:

Administrators Address:

VAT Registered ? Yes No No.

Date of Registration:

HD to setup / manage VAT ? Yes No

VAT Quarter Ends:

Other HD Duties:

Company Software: Excel Sage Other



Dates of: Marriage/Civil Partnership
Separation
Divorce

Nationality:

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Residency:

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Country of Birth:

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Geographical Connections

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Full Names of Children:

DOB:

Sources of Income:

Will Made:

Yes/No

Date:

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Bankruptcy Proceedings?

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Disqualified Director?

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Other Information

Premises:	<input type="checkbox"/> Home	<input type="checkbox"/> Rent	<input type="checkbox"/> Mortgage	<input type="checkbox"/> Freehold	<input type="checkbox"/> Leasehold
Details:	<input type="text"/> <input type="text"/>				
Motor Vehicle:	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Model:	<input type="text"/>				
Vehicle Registration:	<input type="text"/>				
Date Purchased:	<input type="text"/>				
Purchase Cost:	<input type="text"/>				
Business Use:	<input type="checkbox"/> Yes	<input type="checkbox"/> No	%	<input type="text"/>	
NB. Finance Lease agreements needed if any.					
Other Assets ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Details:	<input type="text"/> <input type="text"/>				
Bank Name:	<input type="text"/>		<input type="text"/>		
Account Name:	<input type="text"/>		<input type="text"/>		
Account No:	<input type="text"/>		<input type="text"/>		
Sort Code:	<input type="text"/>		<input type="text"/>		
NB. Bank Loan agreements needed if any.					
Proof of Identity ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Passport	<input type="checkbox"/> Bill 1	<input type="checkbox"/> Bill 2
Financial Adviser ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Pension Provider / Amount:	<input type="text"/>		<input type="text"/>		
Employment Income ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Employer Name	<input type="text"/>				
Tax District & Reference	<input type="text"/>				
Rental Income ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="text"/>		
Other Investment Income:	<input type="text"/>				
Student Loan	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Previous Accountant:	<input type="text"/> <input type="text"/>				
Contact Accountant ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
64-8 Signed ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Record Book?	<input type="checkbox"/> Yes	<input type="checkbox"/> No



Other Loans:

Scale and sources of past and future capital:

Scale and sources of past and future income:

Separate Tax File Set Up For Partner? Ref:

Agent Acting for Partner :

Name:
Address:
Contact:
Tel No:
Email:

Bankruptcy Proceedings?

Disqualified Director?

Other Business Interests/Connected Businesses/Sources of Income?

Fee Quoted



RISK ASSESSMENT

Indicate any factors that may increase the risk that this client might be used by money launderers

1) Connections with Individuals/Businesses in Countries with weak ML regimes?

Yes/No/N/A

Comments:

2) PEP?

Yes/No/N/A

Comments:

3) Client Remote (so that not met client)

Yes/No/N/A

Comments:

Conclusion

1) Overall Risk?

Low / Normal / High

Comments:

2) Standard Procedures Acceptable?

Yes / No

Comments:

Annual Review Completed By:

Date: Risk/CDD/KYC all up to date/appropriate

Comments:



Geographical connections are becoming increasingly important, not only because of the risks associated with countries with weak AML regimes, but because of inter-governmental agreement's over tax such as the UK-USA agreement over FATCA (the USA's Foreign Accounts Tax Compliance Act)

The Common Reporting Standard (CRS) will be adopted by more than 50 countries in 2016 with the exchange of tax information commencing in 2017. That number will grow to more than 70 countries in 2017, with the extra countries exchanging data from 2018. CRS will require the individuals country of birth.

You can search the register of Disqualified Directors at www.gov.uk/search-the-register-of-disqualified-company-directors

High risk is mandatory where the client is PEP or where you have not met the client.

Where there has been significant changes or where you are in doubt you should complete the separate form - Annual Review of AML Changes