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Revisions

Current version

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Risk Assessment

Last updated: 15/07/2025 15:30:21

2024/25

AML Preparation

AML Prepared By

Sergei



Preparation Started



15/07/2025

Preparation Completed



15/07/2025

Enhanced Due Diligence Required



AML Review

AML Reviewed By

Review Started

 dd/mm/yyyy

Review Completed

 dd/mm/yyyy

Individuals Checklist

Comments (0)

Question	No / Yes	N/A
① Confirm identity of individuals	<input type="radio"/>	<input type="radio"/>
① Verify addresses of individuals	<input type="radio"/>	<input type="radio"/>
① Discuss nature of business with individuals	<input type="radio"/>	<input type="radio"/>
① Credit reference check of individuals	<input type="radio"/>	<input type="radio"/>
① Source of references	<input type="radio"/>	<input type="radio"/>
① Any outstanding tax matters/payments	<input checked="" type="radio"/>	<input type="radio"/>

Business Checklist

Comments (0)

Question	No / Yes	N/A
Obtain copy of Certificate of Incorporation	<input type="radio"/>	<input type="radio"/>
Identify who has ultimate control	<input type="radio"/>	<input type="radio"/>
Source of reference	<input type="radio"/>	<input type="radio"/>
Company registry search carried out	<input type="radio"/>	<input type="radio"/>
Obtain copy of latest report and accounts	<input type="radio"/>	<input type="radio"/>

Obtain copy of latest Confirmation Statement

Credit reference check

Related Documents

ⓘ Document Type

ⓘ Document Number

Upload Document



Drag and drop a file here or click

Upload

No documents to display.

General Information

General Information

Some cash transactions, need to make sure regular banking takes place.



Highlight Areas of Risk

Comments (0)

Question

No / Yes

Does the client want to use the firm's client account as a bank account?

Is it a cash based business?

Is there a lack of independent audit evidence?

Is there a lack of evidence of trade?

Is it an overseas client?

Is there a complex group structure?

Has there been a change in business activity?

Is there intra-group trading?

Have there been any dramatic increases in turnover?

Does the client have high turnovers/volume from small business locations?

Were there any transactions in the year without an immediate or obvious purpose?

Does the client require a client account denominated in a foreign currency?

Does the client have a history of persistent and unlikely 'errors' in tax returns?

Risk Assessment

Comments (0)

Risk

Risk Level ▼

Initial Date 

Review Date 

Further Risks

Initial Date 

Review Date



dd/mm/yyyy

Money Laundering Officer

① Money Laundering Officer

Sergei



① Review Date



15/07/2025

Electronic Search

Electronic Search Reference

Sergei Jelissejenko

Comments

Type your comment here



[Post Comment](#)

No comments to display.

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