

+ Create Risk Assessment

Risk Assessment List

 Client Info

 Timeline

 Documents

 Automation

 Risk

 Deadlines

 Workflow

 Invoices

 Resources

 Companies House

HMRC 64-8

 Client Links

 Contacts

>

## Revisions

Current version

View

## 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	<div></div>	<div></div>
① Verify addresses of individuals	<div></div>	<div></div>
① Discuss nature of business with individuals	<div></div>	<div></div>
① Credit reference check of individuals	<div></div>	<div></div>
① Source of references	<div></div>	<div></div>
① Any outstanding tax matters/payments	<div></div>	<div></div>

## Business Checklist

Comments (0)

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

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?	<input checked="" type="checkbox"/>
Is there a lack of independent audit evidence?	<input type="checkbox"/>
Is there a lack of evidence of trade?	<input type="checkbox"/>
Is it an overseas client?	<input type="checkbox"/>
Is there a complex group structure?	<input type="checkbox"/>
Has there been a change in business activity?	<input type="checkbox"/>
Is there intra-group trading?	<input type="checkbox"/>
Have there been any dramatic increases in turnover?	<input type="checkbox"/>
Does the client have high turnovers/volume from small business locations?	<input type="checkbox"/>
Were there any transactions in the year without an immediate or obvious purpose?	<input type="checkbox"/>
Does the client require a client account denominated in a foreign currency?	<input type="checkbox"/>
Does the client have a history of persistent and unlikely 'errors' in tax returns?	<input type="checkbox"/>

## Risk Assessment

Comments (0)

### Risk

Risk Level	Medium
Initial Date	<input type="text" value="15/07/2025"/>
Review Date	<input type="text" value="dd/mm/yyyy"/>

### Further Risks


Initial Date	<input type="text" value="dd/mm/yyyy"/>
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Review Date



dd/mm/yyyy


Money Laundering Officer

 Money Laundering Officer

Sergei



 Review Date



15/07/2025

Electronic Search

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Electronic Search Reference

Sergei Jelisseeenko

Comments

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Type your comment here



Post Comment

No comments to display.

Update