

Firm-Wide Risk Assessment Questionnaire

Firm Name

Our client types and locations	Rarely	Some times	Often
Do we act for clients whom we do not meet, or otherwise whom we do not know well?			
Do we do regulated work for clients who are believed to have criminal associations or low standards of honesty?			
Do we act for politically exposed persons?			
Do we act for clients who have connections with countries which are high risk for money laundering?			
Do we act for entities with a complex or obscure ownership structure?			
Do we carry out transactions for clients in high-risk industries (e.g. cash-based, gambling, mining)?			
Do we act for clients who may have terrorist sympathies?			
Do we act for clients who for some other reason present a substantial money laundering risk?			

Our services	Rarely	Some times	Often
Do we act in complex or high-value transactions?			
Do we act in cross-border transactions (particularly involving high-risk countries)?			
Do we act for companies or trusts with structures which could be used to obscure ownership or control?			
Do we accept funds in cash?			
Do we provide services which for some other reason involve a substantial money laundering risk?			

Internal issues	Rarely	Some times	Often
Does any member of staff or partner display ignorance of or indifference to their AML obligations?			
Do we lack appropriate oversight of anyone in the firm (particularly regarding clients or transactions)?			
Is there reason to doubt the reliability or strength of character of any member of staff or partner?			
Are we dependent on one source of work, or anyone who can unduly influence any staff or partners?			
Have we had experience of any money laundering or financial crime incident in the past?	NO		YES