

NEW MATTER OPENING FORM

DATE:		FEE EARNER -	
Title			
Forenames (Client 1)			
Surname			
DOB			
NI Number			
Forenames (Client 2)			
Surname			
DOB			
NI Number			
Marital Status			
Telephone	Home		
Where applicable	Email		
	Mobile		
Address			

DESCRIPTION OF MATTER

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RISK ASSESSMENT

Has Conflict of Interest Check been completed on client	Yes	No
Has Conflict of Interest Check been completed on counterparties	Yes	No
Has a possible conflict been identified?	Yes	No
<i>If yes please report to COLP and do NOT proceed without COLP authority</i>		
Has CDD form been completed	Yes	No
Has client been identified & PEP's & Sanctions check completed?	Yes	No
Have Sanctions checks been completed for the counterparties?	Yes	No
Has opening risk assessment been completed?	Yes	No
<i>Please ensure ALB is updated & relevant risk coloured indicator is on file cover</i>		
Initial Risk Level	High/Medium/Low	
Interim Risk Level	High/Medium/Low	
Final Risk Level	High/Medium/Low	
Have all undertakings been discharged?	Yes	No

ADDITIONAL CONVEYANCING CHECKS

Conveyancing – Do you know the otherside Solicitor?	Yes	No
If no;	Existence checked	
	Address checked	
Have you considered whether there are any warning signs in a conveyancing sale or purchase, for example a vacant property, an overseas buyer &/or seller, a short transaction time-frame or a questionable sale price?		
Are there any concerns?	Yes	No
<i>If yes please report to COLP and do NOT proceed without COLP authority</i>		

Suspect Jurisdiction Countries: Algeria, Angola, Bolivia, Bulgaria, Burkina Faso, Cameroon, Côte d'Ivoire, Democratic Republic of Congo, Democratic People's Republic of Korea, Haiti, Iran, Kenya, Lao Peoples Democratic Republic (Laos), Lebanon, Monaco, Myanmar, Namibia, Nepal, South Sudan, Syria, Venezuela, Vietnam, Virgin Islands (UK) and Yemen.