

## Customer due diligence rapid-check worksheet



### Purpose

This worksheet is provided as an aid to reflect upon the customer identification practices that your business uses and to consider what you can do to make your AML/CTF program more effective.

### Directions

Select a random sample of 10 application forms representing a type of product, a service delivery channel, or the output of a work group. Take 10 minutes to review the quality and completeness of each application and identification of the customer.

Sample description		Date of check											
Checkpoints		A	B	C	D	E	F	G	H	I	J		
Customer categorisation	Was the customer type correctly assessed in order to use the correct application procedure?												
ID information collection	Was the correct type of ID information collected for this type of customer?												
ID information verification	Was the verification of the ID information completed?												
Authentication issues	Were any authentication issues raised that were <u>not</u> addressed?												
Application completeness	Was the application fully completed by the customer and the employee/s in the required places?												
Application oversight	Was the application signed off by the designated reviewer?												
Application record keeping	Were the application and the ID information correctly recorded and appropriately stored?												
Was there any discrepancy? Did you need to answer 'no' to any question for any sample?	What will you do to follow up the discrepancy?												

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