

Requirement	Verification of client's identity and authority	
Steps	Obtain details	<p>For every client who is new to the legal practice, the accountable senior lawyer should ensure sufficient proof of the legal identity of the prospective client is obtained:</p> <ul style="list-style-type: none"> • Make sufficient enquiry with the prospective client during the initial face to face meeting to identify the prospective client and any other prospective clients in the matter • Ensure the correct legal name of the individual or entity is obtained • Seek and obtain copies of primary documentation verifying individual identity as required by the legal practice which might include: <ul style="list-style-type: none"> ○ Passport from another country or diplomatic documents. ... ○ Australian birth certificate. ○ A birth card issued by an Australian Registry of Births, Deaths, and Marriages. ○ Citizenship certificate. ○ Australia Passport (current or expired within the preceding two years, not cancelled) ○ Proof of current residential address ○ Driver's licence • Obtain sufficient proof of identity to satisfy the legal practice of the identity of the prospective entity client considering a range of possible information from company and business names searches: <ul style="list-style-type: none"> ○ Business registration number ○ Company name. ○ Address. ○ Status. ○ Key management personnel. ○ Date of incorporation ○ Domicile
	Manage multiple clients	<ul style="list-style-type: none"> • Where there are multiple potential clients, the accountable senior lawyer should establish who has authority and responsibility in relation to: <ul style="list-style-type: none"> ○ Providing instructions, ○ Receiving advice and communications ○ Receiving bills and making payments • The accountable senior lawyer should determine whether a single or multiple files is required

Evaluate identity risk	The accountable senior lawyer should evaluate whether there is ongoing uncertainty concerning the identity of the prospective client or any of multiple other prospective clients that is unacceptable to the legal practice. Factors include: <ul style="list-style-type: none"> • Lack of face to face meeting • Lack of involvement of all named clients in meeting • Complexity of individuals and/or entities involved • Lack of satisfactory primary identification documentation
Obtain secondary proof	Where the legal practice has determined there is an unacceptable identity risk following initial enquiry, further enquiry should be made including: <ul style="list-style-type: none"> • Statutory authorities or government agencies • Such other secondary proof of identity documentation as required by the legal practice
Decline matter	If the legal practice is not be satisfied with the proof of identity of the prospective client or one or more of multiple prospective clients, then: <ul style="list-style-type: none"> • Make determination not to act • Communicate to any prospective client for whom the legal practice has determined not to act

Sample Client Identity and Authority checklist:

Legal name	Address	Primary/secondary identity proof	Separate file required	Communication authority	Instructions authority	Bill payment responsibility

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