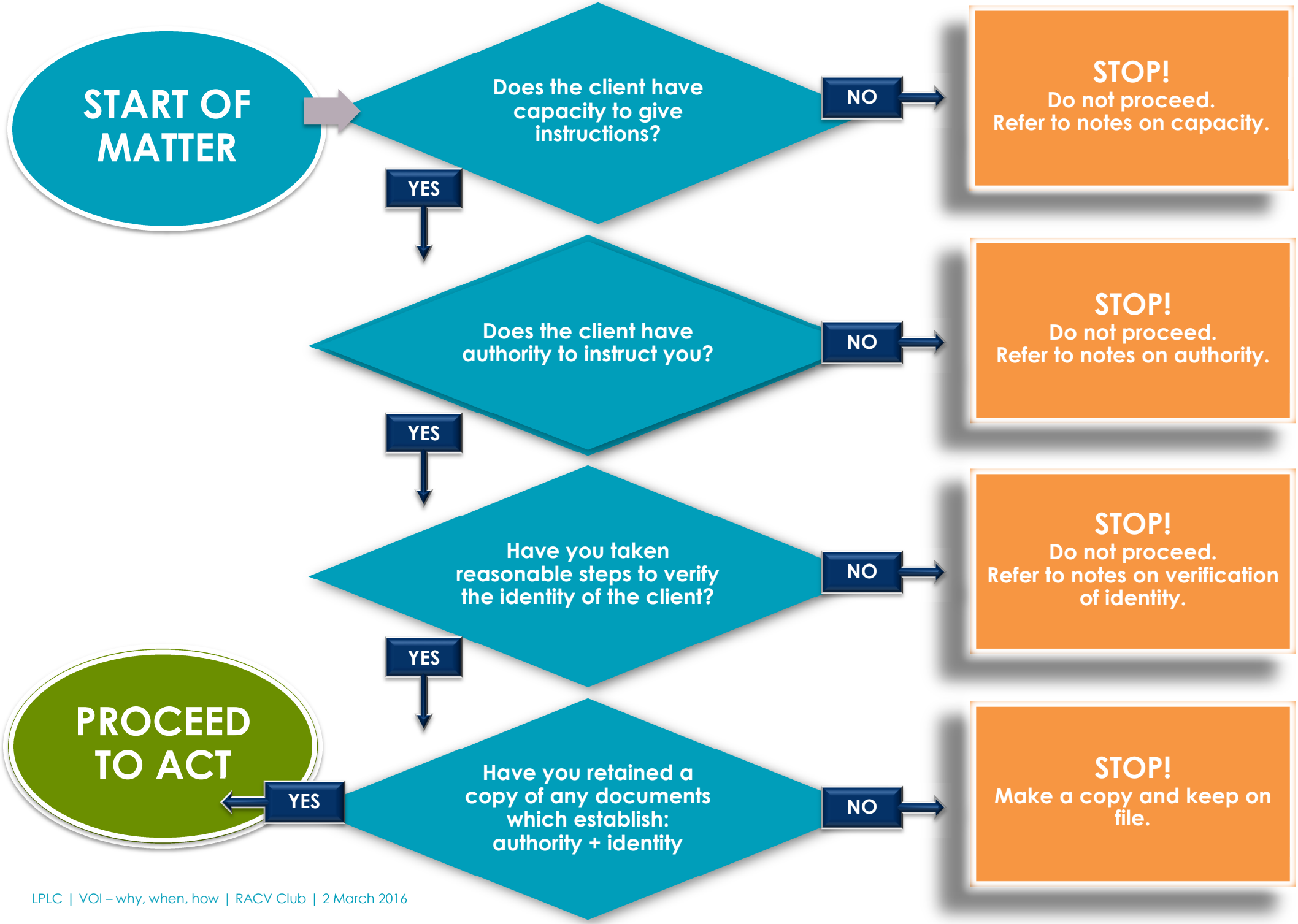
START OF MATTER
Does the client have capacity to give instructions?
NO
STOP!
Do not proceed.
Refer to notes on capacity.
YES
Does the client have authority to instruct you?
NO
STOP!
Do not proceed.
Refer to notes on authority.
YES
Have you taken reasonable steps to verify the identity of the client?
NO
STOP!
Do not proceed.
Refer to notes on verification of identity.
YES
Have you retained a copy of any documents which establish: authority + identity
NO
STOP!
Make a copy and keep on file.
YES
PROCEED TO ACT