

## Leadsprop PTY Ltd T/A Leadsprop

Registered with the PPRA

**Form 1 - Client identification and verification of natural person**

(including all persons who act on behalf of another natural person/legal entity together with the client's identification on forms 2, 3 or 4)

<b>1. Full names</b> (as per ID document used)		<b>Surname</b>		<b>ID, passport, work permit or visa, no</b>			
<i>(We must inspect the original and keep a copy of a document issued by the government as a source or authenticated less than 3 months) *</i>							
<b>2. Address</b>							
<b>Contact number/s</b>							
<b>E-mail</b>				<b>Are you a SA citizen / permanent resident?</b>			
<i>(We must inspect the original email/WhatsApp/document and keep a copy or authenticated for less than 3 months)**</i>							
<b>3. Has our company ever conducted the FICA process with you before?</b>	<b>Yes</b>	<b>When ±?</b>	<b>What type of service was it?</b>				
	<b>No</b>		<b>Were you <u>then</u> a Seller, Buyer, Tenant, or Landlord?</b>				
This transaction - Type of <b>service</b> :							
What will this property be <b>used</b> as? <i>(If you are a Buyer or Tenant):</i>							
<b>Your reason for selling / Letting</b> <i>(If you are a seller or Landlord):</i>							
<b>4. To whose account/s will payments be made? ***</b>		Agency	Attorney	Seller	Landlord	Other	
<b>From where will payments be made? ****</b>		SA Bank	International transfer	Bond	Subject to sale	An Attorney	Cash
Will any payments be <b>R50 000 or more in cash</b> (i.e., paper money, coins, or traveller's cheques)?					Yes	No	
<i>(Circle all the applicable words) *** (You may pick more than one method/combination of finance) ****</i>							
<b>5. Do you occupy, or have you occupied, any of the following positions in any country other than SA?</b>							
Head of state	Member of the royal family	Cabinet member	Snr member of a political party	Senior judicial officer			
Snr executive of a state-owned entity	High rank in the military	Other:					
<i>(If "YES" Mark if applicable or write in under "Other")</i>							
<b>6. Do you now occupy, or have you occupied, any of the following positions in South Africa?</b>					Yes	No	
President or Deputy President of South Africa	Premier of a province	Cabinet minister or deputy minister		MEC of a province			
Mayor of a municipality	Leader of any political party	Member of a royal family	Senior traditional leader		Judge		
Head, accounting officer or CFO of a national or provincial department			Manager or Chief Finance Officer (CFO) of a municipality				
Chairperson, CEO, accounting authority, CFO, or chief investment officer of a public entity				Other:			
Ambassador, high commissioner, or other senior representative of a foreign country based in SA							
Chairperson of the board of directors, chairperson of the audit committee, executive officer or CFO of a company doing business with the government, and if so, in what capacity?							
<i>(If "YES" mark the applicable or write in under "Other")</i>							
<b>7. Are you a family member or a close associate of one of the categories of people mentioned in questions 5 &amp; 6 above?</b>							
<b>Names &amp; Surname:</b>							
<b>Relationship:</b>		<b>Position:</b>					
If you responded "yes" to any of the previous three questions, please indicate and describe your <b>primary source of wealth</b> .							

\* If you are unable to produce an official **identity document**. The acceptable reason for being unable to produce an official identity document should be noted and dated below by employee OBO, our estate agency. (photo should be taken and printed by the employee with birthdate, name, surname, ID number of client and the date of photo written on the printed page)

\*\* If your proof of **residential address** is sent in electronic format. We need to see the original email/WhatsApp as it appeared in your inbox/phone and the attachment (if any). That email/WhatsApp and the attachment must be forwarded so we can print a copy.

**Consent** to process (use) personal information in terms of The Protection Of Personal Information Act (**POPIA**), on condition that my personal information shall be used and processed under the Protection of Personal Information Act.

SIGNED AND DATED ON \_\_\_\_\_  
Date Client - Name in print and signature

Employee - Name person representing the PPB (Agency) \_\_\_\_\_ Date Signature

**FOR YOUR OFFICE USE ONLY** (If there is more space needed, add pages or write at the back)

<b>Transaction name</b>		<b>Transaction date</b> (contract signed)	<b>Transaction amount</b>	<b>Transaction type</b> Lease/Sale	<b>Date: TFS List Screening done</b>
<b>Property Practitioner involved</b>		<b>Date all FICA was done</b>	<b>FIC Compliance Officer</b>		The client has a <b>previous FICA record</b> with us: <b>Yes/No</b> - If <b>“Yes”</b> date:
Open media search and/or ATMS findings:			Is this person a <b>beneficial owner?</b> If yes, describe the process you used and why.		
<b>If Questions 5 – 7 were yes; please describe why and the ML/TF/PF risk.</b>			If a beneficial owner describes legal entity ownership – an organigram if possible.		

**RISK RATING & ASSESSMENT of the Natural Person** (Score all applicable blocks to your client/transaction/situation)

Note: FCO has reviewed the blocks and is considering the risks applicable to our office.

Client Type	Rate	Products / Services	Rate	Geographical	Rate
Proof of ID - Eager (0) /Difficult (1-3)		Bond / Bond & Deposit (EFT - SA) (0)		Provided Proof of Address (easy) (0)	
Easy to ID Beneficial Owner/s (BA)(0-3)		Bond & Subject to sale ( in SA) (0)		From the same/similar area (0)	
Simple (0) or Complex legal entity (3)		Transaction paid via EFT (0)		SA Citizens living/work abroad (1-3)	
Answer to Q 5-7 - <b>yes</b> (2/3) or <b>no</b> (0)		Third-party payments (1-3)		From another province (0-2)	
Negatively in media or web searches		“Unusual” payments (2/3)		From low-risk(0) High-risk country(3)	
Tenant - consistent payment (0)		<b>Cash (3)</b> (Report R50 000 and more)		From weak regulatory oversight (3)	
Tenant uneven or large sums of R (2/3)		Cross-border flow of money (1-3)		Do not mind location/overprice (3)	
Busy setting up a trust /shell co		Rental scheduled payments (0)		From high crime areas (1-3)	
Uneven Transactional pattern		Rental – sudden large amounts (1-3)		Engage with sanctions regimes. (3)	
<b>Total rating</b>		<b>Total rating</b>		<b>Total rating</b>	

Delivery channels	Rate	Other factors	Rate	Total Risk Rating	Rate
Direct (easy) relationship (0)		“Normal transaction” for PPB (0)		<b>Client Type</b>	
3 <sup>rd</sup> (unrelated) party involved (1-3)		“Unusual transaction” for PPB (1-3)		<b>Products &amp; Services</b>	
3 <sup>rd</sup> party referred/introduced to us (0-3)		ML/TF/PF possibility (1-3)		<b>Geographical area</b>	
Non -Face to face communication (with reason) (0-1)		TFS List Screening FIC WEB (3)		<b>Delivery channels</b>	
Non -Face to face communication (without reason) (2-3)		<b>STOP TRANSACTION</b>		<b>Other factors</b>	
Non -Face to face communication (without reason) (2-3)		The previous FICA we did differs totally from this one now. (1-3)			
Acting on behalf of PEP / PIP / NPO(3)		No clear source of wealth (1-3)		<b>Low rate (0 - 9)</b>	
Change “client” name in process. (1-3)		Involved with tenders (1-3)		<b>Medium rate (10 – 19)</b>	
Uncertain Strategy of entity (1-3)		Difference: Spending / Income (1-3)		<b>High rate (20 +)</b>	
		Client unemployed (1-3)			
<b>Total rating</b>		<b>Total rating</b>		<b>Total rating</b>	Low   Med   High

**RISK MONITORING, MITIGATION, & MANAGEMENT** Note: The FCO must review and agree with the action if it is High risk.

<b>Low rate (0 - 9)</b>	Simple due diligence is enough	File & Keep 5 years (If changes happen, do again)
<b>Medium rate (10 – 19)</b>	Standard due diligence and an open mind	File, keep monitoring, & Keep 5 years
<b>High rate (20 and more)</b>	Enhanced due diligence and monitoring	Discuss with the FIC Compliance officer in the office

**More notes:**
