

## Leadsprop PTY Ltd T/A Leadsprop

Registered with the PPRA

**Form 2 - Client identification & verification of Legal person (CC) / (Pty)**

Customer Due Diligence (Form 2 should be accompanied by Form 1 for all persons who act on behalf of the legal entity)

*The information about "off the shelf" companies should be dealt in the same way they would identify and verify any other company.**(Identify client even if the client is an organ of the state, including a government department. Similar to that used with respect to "other legal persons." This would apply to national, provincial, and local government departments)*

<b>1. Registered name of business (The client)</b>	<b>Trading name</b>	<b>Registration number</b>
<b>Business Income tax number</b>	<b>Business VAT number (or n/a)</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 of business main place of work **</b>			
<b>Contact number/s</b>	<b>Nature of the business:</b>		
<b>E-mail</b>			
<b>Industry</b>	<b>Services</b>	<b>Products</b>	
<i>(As per letterhead of business) **</i>			

<b>3. Full names (of person who is a beneficial owner)</b>	<b>Surname</b>	<b>ID, passport, work permit or visa no</b>
<i>(Use "Form 1" to do identification &amp; verification on each one of the natural persons) (if more space is needed, use the back of the form or add on)</i>		

<b>3. Full names (of person who is a beneficial owner)</b>	<b>Surname</b>	<b>ID, passport, work permit or visa, no</b>
<i>(Use "Form 1" to do identification &amp; verification on each one of the natural persons) (if more space is needed, use the back of the form or add on)</i>		

<b>3. Full names (of person who is a beneficial owner)</b>	<b>Surname</b>	<b>ID, passport, work permit or visa, no</b>
<i>(Use "Form 1" to do identification &amp; verification on each one of the natural persons) (if more space is needed, use the back of the form or add on)</i>		

<b>3. Another legal entity linked to this CC/PTY LTD</b>	<b>Trading name</b>	<b>Registration number, if applicable</b>
<i>(We must inspect the document used, and a copy will be required from you) ((Forms 1-4 to be completed as necessary)</i>		

<b>4. 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>
<b>This transaction - Type of service:</b>			
<b>What will this property be used as?</b> <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>5. 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
<b>Will any payments be R50 000 or more in cash (i.e., paper money, coins, or traveller's cheques)?</b>					Yes	No
<i>(Circle all the applicable words) *** (You may pick more than one method/combination of finance) ****</i>						

\* 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 an 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 Name in print and signature

SIGNED AND DATED ON \_\_\_\_\_  
Date Name (2) in print and signature

SIGNED AND DATED ON \_\_\_\_\_  
Date Name (3) 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)

Transaction name		Transaction date	Transaction amount	Transaction type (Lease/Sale)	Date: TFS List Screening
Copy Of Document/S Proving Registered name and number Provided					
Copy of the "Letter of Authority" to act on behalf of CC or Pty:					
A "FICA form 1" (or 1-4) completed for <b>each beneficial owner of the legal entity</b>					
Property Practitioner involved	Date FICA done	FIC Compliance Officer	The client has a previous FICA record with us		
Open media search and/or ATMS findings:		Legal entity ownership – organigram if possible.			
1st person, who is a <b>beneficial owner</b> ?		Why did you decide on this person?	<i>(Describe the process you used.)</i>		
2nd person, who is a <b>beneficial owner</b> ?		Why did you decide on this person?	<i>(Describe the process you used.)</i>		
3rd person, who is a <b>beneficial owner</b> ?		Why did you decide on this person?	<i>(Describe the process you used.)</i>		

**RISK RATING & ASSESSMENT of Legal person (CC) or (Pty)** (Score all applicable blocks 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 REG 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 <b>same/similar</b> area (0)	
Simple (0) or Complex legal entity (3)		Transaction paid via EFT (0)		Reason why <b>this</b> area/property? (1-3)	
<b>Unsure source of funds (1-3)</b>		Third-party payments (1-3)		From another <b>province</b> (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)	
Not sure who real BO are (2-3)		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>STOP TRANSACTION</b>		<b>Delivery channels</b>	
Non -Face to face communication (without reason) (2-3)		The previous FICA we did differs totally from this one now. (1-3)		<b>Other factors</b>	
<b>BO is a PEP / PIP / NPO(3)</b>		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>	
Uncertain if the property fits business (1-3)		Unsure what entity does (1-3)			
<b>Total rating</b>		<b>Total rating</b>		<b>Total rating</b>	Low   Med   High

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

Controls in a proportion of risk	Action	
<b>Low rate (0 - 9)</b>	Simple due diligence is enough	File, keep monitoring & Keep 5 years
<b>Medium rate (10 – 19)</b>	Additional due diligence & open mind	Discuss with the FIC Compliance officer in the office
<b>High rate (20 and more)</b>	Enhanced due diligence & monitoring	Discuss with the FIC Compliance officer in the office
If necessary, do enhanced due diligence and monitoring, except if it will alert the client. Then, it is better to report immediately to the FIC.		

**More notes:**
