

Leadsprop PTY Ltd T/A Leadsprop

Registered with the PPRA

Form 3 - Client identification and verification of Legal person (Trust)

(Form 3 should be accompanied by form 1 for all trustees/persons in control and the named beneficiaries - of the Trust or sign OBO the client who is a Trust, as per the letter of authority from the Master of the High Court in South Africa or letter of authority from a competent trust registering authority in a foreign jurisdiction; or trustees' resolution authorising person/s to act).

| | | | | | | |
|--|------------|--|---|---|--|--------------------|
| 1. Full name of the Trust (The client) | | Trading name (as per advertisements/websites) | | | Registration number | |
| Trust income tax number | | Trust VAT number (or n/a) | | | | |
| <i>(We must inspect the document used) (as per registration of the Trust Deed with the Master of the High Court or other founding document)*</i> | | | | | | |
| 2. Address of the Trust central place of work ** | | | | | | |
| Contact number/s | | | | Nature of the Trust: (Family/business) | | |
| E-mail | | | | | | |
| Industry | | Services | | Products | | |
| <i>(As per letterhead of Trust)**</i> | | | | | | |
| 3. Full names (of the person who is the founder/controller) | | | Surname | | ID, passport, work permit or visa, no | |
| <i>(Use "Form 1" to do identification & verification on each one of the natural persons) (if more space is needed, use the back of the form or add on)</i> | | | | | | |
| 3. Full names (of person who is Beneficiary (1)) | | | Surname | | ID, passport, work permit or visa, no | |
| <i>(Use "Form 1" to do identification & verification on each one of the Named Beneficial Owners)</i> | | | | | | |
| 3. Full names (of person who is Beneficiary (2)) | | | Surname | | ID, passport, work permit or visa, no | |
| <i>(Use "Form 1" to do identification & verification on each one of the Named Beneficial Owners)</i> | | | | | | |
| 5. To whose account/s will payments be made? *** | | Agency | Attorney | Seller | Landlord | Other |
| From where will payments be made? **** | | SA Bank | International transfer | Bond | Subject to sale | An Attorney |
| Will any payments be R50 000 or more in cash (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> | | | | | | |
| 3. Another legal entity linked to this Trust | | | Trading name | | Registration number, if applicable | |
| <i>(We must inspect the document used, and a copy will be required from you) ((Forms 1-4 to be completed as necessary)</i> | | | | | | |
| 4. Has our company ever conducted the FICA process with you before? | Yes | When ±? | What type of service was it: | | | |
| | No | | Were you <u>then</u> a Seller, Buyer, Tenant, or Landlord? | | | |
| This transaction - Type of service: | | | | | | |
| What will this property be used as? <i>(If you are a Buyer or Tenant):</i> | | | | | | |
| Your reason for selling / Letting <i>(If you are a seller or Landlord):</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 no 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 | | | | |
| Has the authority/address of the Master of the High Court been established? | | | | |
| Copy of the "Letter of Authority" to act on behalf of Trust | | | | |
| Copy Of Document/S Proving Address Provided: | | | | |
| A "FICA form 1" (or 1-4) completed for each person representing the legal entity/s | | | | |
| 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 beneficial owner? | | Why did you decide on this person (Describe the process you used.) | | |
| 2nd person, who is a beneficial owner? | | Why did you decide on this person (Describe the process you used.) | | |
| 3rd person, who is a beneficial owner? | | Why did you decide on this person (Describe the process you used.) | | |

RISK RATING & ASSESSMENT of the Trust (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 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 same/similar area (0) | |
| Simple (0) or Complex legal entity (3) | | Transaction paid via EFT (0) | | Reason why this area /property? (1-3) | |
| Unsure source of funds (1-3) | | 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) | | Cash (3) (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) | |
| Total rating | | Total rating | | Total rating | |

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

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

| Controls in the proportion of risk | Action | |
|--|-------------------------------------|---|
| Low rate (0 - 9) | Simple due diligence is enough | File, keep monitoring, & Keep 5 years |
| Medium rate (10 – 19) | Standard due diligence & monitoring | Discuss with the FIC Compliance officer in the office |
| High rate (20 and more) | 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. | | |