

Leadsprop PTY Ltd T/A Leadsprop

Registered with the PPRA

Form 5 - Enhanced Due Diligence

(Form 5, will be used when the risk rating score is high and extra information/risk rating is needed)

1. Full names (as per ID document used)	Surname	ID, passport, work permit or visa no
<i>(We must inspect the document used, and a copy will be filed) (issued by government source) *</i>		

2. Address	
Contact number/s	
E-mail	Are you a SA citizen / permanent resident?
<i>(A document less than 3 months old proving this main place of residence will be required from you) **</i>	

3. Type of service:	Other:
Sell/ Let because:	
Buy/ Rent to use as:	
<i>(Delete the inapplicable words) **</i>	

	RISK WEIGHT	TOTAL
"Normal" South African CC /Pty/ Professional Partnership/ listed company/Family Trust	1	
"complicated" or "layered" Partnership/ listed company/Family Trust	4	
Persons representing others with Powers of Attorney	2	
South African non-professional Partnership /non-family Trust	2	
Non-profit & non-governmental organisations, funds did not follow these organisations'	3	
South African Domestic Prominent Influential Persons - See Schedule 8		STOP, Discuss with FCO
Foreign National/Company – from Non-FAFT Member states - See Schedule 10		STOP, Discuss with FCO
Foreign National/ Company from FAFT Member state - See Schedule 10		STOP, Discuss with FCO
Foreign Prominent Public Official - See Schedule 9		STOP, Discuss with FCO
Foreign Trust /Partnership /Company from USA, UK /other		STOP, Discuss with FCO
The client's business activity involves transacting large amounts of cash.		STOP, Discuss with FCO
Lack of knowledge/interest about the industry/market value	1	
Lack of concern/disregard for costs and risks involved	2	
Appears to have accounts with several banks in one geographical area	2	
Unusual or complicated transactions / High-value properties / Restricted areas	2	
Income differs noticeably from that of similar businesses	2	
Evasiveness/vagueness / Unwillingness/failure to provide ID & verification documents	3	
Resistant to in-person dealings. Prefers dealing via electronic media	3	
Unusual concern for secrecy/privacy / Ask about reporting to FIC	3	
ID documents with different names		STOP, Discuss with FCO
The customer pays rent in advance and thereafter requests a refund	3	
Criminal background	3	
Structuring cash deposits below R49 999 or multiple money orders	3	
Third-party payments (from jurisdictions with ineffective or weak control of money)	4	
The client is in too much of a hurry to finalise the deal without a valid reason	4	
Buy obo person who lacks the economic capacity/blacklisted. Actual client not on docs.	4	
Landlords who give instructions to pay their rental income to third parties	4	
Pays deposit in cash and balance by unusual source <i>(a third party or private lender)</i>	4	
Vagueness as to the source of funds/nature of business	4	
High Cash Generating Business/Import & Export/Trades High-Value goods	4	

"Discuss with FCO"

NOTES:

- ✓ This was done where the risk of possible money laundering abuse was assessed higher. We must ensure that implemented systems and controls are in place after obtaining additional information about clients, applying secure confirmation of client information, and conducting closer scrutiny regarding client transaction activities.
- ✓ A property practitioner shall not deal with anonymous clients acting under false/fictitious names if a client refuses to provide supporting documentation. The Property Practitioners Business must terminate a client relationship.

 Full name and surname of responsible employee

 Date

 Signature

 Full name and surname of Principal / FICA Officer

 Date

 Signature

For internal use:

Schedule 3A for the FIC Act contains a list of positions that will be considered domestic prominent influential persons, which includes:

- The President or Deputy President; <http://www.gov.za/aboutgovernment/leaders>
- A government minister or deputy minister <http://www.gov.za/aboutgovernment/leaders>
- The Premier of a province <http://www.gov.za/links/provincial-government>
- A member of the Executive Council of a province; <http://www.gov.za/links/provincial-government>
- An executive mayor of a municipality elected in terms of the Local Government Municipal Structures Act, 1998. <http://www.salga.org.za/Municipalities%20MCD.html>
- A political party leader registered in terms of the Electoral Commission Act, 1996 (<http://www.elections.org.za/content/Parties/Political-party-list/>)
- **Note:** The leader of a political party is the person identified by the party to occupy the position of the highest level of authority in the party.
- A member of the royal family or senior traditional leader as defined in the Traditional Leadership and Governance Framework Act, 2003; <http://www.cogta.gov.za/?p=938>
- Note: The description of a “senior” Traditional leader applies to traditional leaders who exercise authority over several headmen or headwomen by customary law or within whose jurisdiction several headmen or headwomen exercise authority.
- The head, accounting officer or chief financial officer of a national or provincial department or government component as defined in section 1 of the Public Service Act, 1994; http://www.gcis.gov.za/gcis/pdf/government_28.pdf
- The municipal manager of a municipality appointed in terms of section 54A of the Local Government: Municipal Systems Act, 2000 or a chief financial officer designated in terms of section 80(2) of the Municipal Finance Management Act, 1999; <http://www.salga.org.za/Municipalities%20MCD.html>
- The chairperson of the controlling body, the chief executive officer, or a natural person who is the accounting authority, the chief financial officer or the chief investment officer of a public entity listed in Schedule 2 or 3 to the Public Finance Management Act, 1999; <http://www.gcis.gov.za/content/resourcecentre/contactdirectory/government-structures-and-parastatals>
- The chairperson of the controlling body, chief executive officer, chief financial officer or chief investment officer of a municipal entity as defined in section 1 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000); <http://www.govpage.co.za/municipal-entities.html>
- A constitutional court judge or any other judge as defined in section 1 of the Judges Remuneration and Conditions of Employment Act, 2001 <http://www.judiciary.org.za/index.html>
- An ambassador, high commissioner, or other senior representative of a foreign government based in the Republic of South Africa <http://www.dirco.gov.za/foreign/forrep/index.htm>
- An officer of the South African National Defense Force above the rank of major general <http://www.dod.mil.za/leaders/leaders.htm>
- Note: This will include persons holding the General and Lieutenant General positions in the South African National Defense Force. The position of—
 - Chairperson of the board of directors.
 - Chairperson of the audit committee.
 - Executive officer.
 - Chief financial officer of a company, as defined in the Companies Act 2008, if the company provides goods or services to an organ of state and the annual transactional value of the goods or services or both exceeds an amount determined by the Minister of Finance by notice in the Gazette.
- Note: It is envisaged that the Minister of Finance will delay the operational date of this paragraph in the legislation, given that information about persons who may fall into this category is not currently available to the public. The National Treasury will explore ways to make such information readily available to enable easier compliance by accountable institutions. The position of the head, or another executive directly accountable to that head, of an international organisation based in the Republic of South Africa. <http://www.dirco.gov.za/foreign/forrep/intorg.htm>