

Leadsprop PTY Ltd T/A Leadsprop

Registered with the PPRA

Form 6 – Employee screening (prospective & current employees)

-for competence & integrity on a risk-based approach, as well as scrutinise employee information against the TFS lists
(To be used with onboarding & periodically with intervals of no more than 12 months - determined by the ML/TF/PF risk posed by the employee role)

1. Full names (as per ID document used <u>and</u> Nickname)		Surname	ID/passport/work permit or visa no	
<i>(Nickname as per advertisements/websites) (Document copy will be required from you) (issued by government source)</i>				
2. Physical Address				
Contact number/s				
E-mail			Are you a SA citizen / permanent resident?	
<i>(A document less than 3 months old proving this principal place of residence will be required from you)</i>				
3. Position/designation:		Date applied/started at the company		
Selling /letting department:				
Admin department:				
<i>Highest/applicable qualifications & relevant accreditations:</i>				
4. Were you ever in a position of trust		Were you ever in a management position?		
Have you ever been in a position where you had to do FICA?		Did you receive any initial FICA training?		
Have you ever held a snr decision-making role about ML/TF/PF at a firm that was found to have criminally contravened the FIC Act?		Do you have a criminal record, particularly related to dishonesty, money laundering or other financial crimes		
<i>Notes:</i>				
5. Do you occupy, or have you occupied, any of the following positions in any country other than SA?				
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	<i>Other:</i>		
<i>(If "YES" Mark if applicable or write in under "Other")</i>				
6. Do you now occupy, or have you occupied, any of the following positions in South Africa?				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			<i>Other:</i>	
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>(Mark if applicable or write in under "Other")</i>				
7. Are you a family member or a close associate of one of the categories of people mentioned in questions 5 & 6 above?				
Names & Surname:				
Relationship:		Position:		
<i>If you answered "yes" to any of the previous three questions, please indicate your source of wealth.</i>				
8. Your Previous Physical Home Address:				
<i>Name your previous employer</i>			<i>Contact number:</i>	
<i>Name your Previous position, responsibilities, and duration:</i>				

- 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.
- I have received the company RMCP and signed a copy on _____
- I will attend the necessary training workshop/s offered by our Property Practitioners Business in this regard on _____
- I acknowledge that if I do not understand any of my duties under the RMCP, or have any questions or concerns, I may ask the FICA Compliance Officer, _____ (who is named on our RMCP) or our principal for clarification
- I undertake to fulfil all my duties imposed by FICA and the RMCP.
- I do understand Failure to comply with these duties may result in the imposition of an administrative sanction, under section 45C of the FIC Act.

SIGNED AND DATED ON _____
Date Name in print and signature

Full name and surname management Date Signature

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

Employees/applicants' name	Interview date	Position/Role	Department	Qualification/s
			Lease/Sale/Admin	
HR Person involved	Date TFS screened	FIC Compliance Officer	Principal	

More notes:

RISK RATING & ASSESSMENT of the employee/applicant

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

Screening for competence	Rate	Screening for integrity	Rate	Geographical areas	Rate
Has prev. held this position		Provided Proof of ID		Proof of local address	
Has necessary skills		Generally accepted conduct		Moved from the same/similar area	
Has necessary knowledge		No criminal record		Moved from another province	
Has necessary expertise		Negatively in media/social media		Moved from low-risk country	
Shows eager to learn		Was not eager to give info		Do not have a fixed address yet	
Positive ref received		Answered "yes" to Q 4		Office near the border	
Has relevant accreditations		Dismissed from a position of trust		Work with clients in other areas.	
Has attended FIC training recently		Accused of dishonesty		Commercial or "high net worth"	
Never attended FIC training.				Residential or "entry-level/family"	
Total rating		Total rating		Total rating	

Employee role	Rate	TFS Lists, DPEP's, FPEP's & PIP's	Rate	Total Risk Rating	Rate
Admin - no client interaction		Appear on the TFS list		Screening for competence	
Admin - client interaction		Considered to be PIP		Screening for integrity	
Clear source -wealth/income		A family member on the TFS list		Geographical area	
Previous unemployed without a clear explanation		Deal with high-risk clients such as PIPs, DPEP or FPEP.		Employee role	
Senior decision-making role		Appear on the TFS list.		Other factors	
Employee – FICA accountable				Low rate (0 - 9)	
MLRO or FCO				Medium rate (10 – 19)	
Principal/Director				High rate (20 +)	
Total rating		Total rating		Total rating	Low Med High

RISK MONITORING, MITIGATION, & MANAGEMENT

Note: FCO must review the actions, considering the possible national, sector, company, and employee risks that apply to our office.

Controls in a proportion of risk	Action	Date of previous screening
Low rate (0 - 9)	Periodic screening (at least 12 monthly)	
Medium rate (10 – 19)	More frequent screening (at least six monthly)	
High rate (20 and more)	Frequent screening (at least 3 monthly) or no appointment option	
If necessary, do enhanced due diligence & monitoring of higher-risk employees.		

SCRUTINISING EMPLOYEE INFORMATION AGAINST TARGETED FINANCIAL SANCTIONS LISTS

Who	When	Action
All prospective employees	Before the appointment of the person	Employ/no employment option/report to FIC if needed
Present employees (FICA accountable)	Periodic not less than 12 months	Depending on the rating above (+ when changes to the list)
Snr management	Periodic not less than 6 months	Depending on the rating above (+ when changes to the list)