



# Valuables Properties Bellville

Registered with the PPRA

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

(Form 1 is used on all persons who act on behalf of another natural person/legal entity together with the client's identification on forms 1, 2, 3 or 4)

|   |                               |  |  |                                      |                              |       |
|---|-------------------------------|--|--|--------------------------------------|------------------------------|-------|
| 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 required from you) (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:   |                               | Did our company ever previously conduct the FICA process with you? |  |                                      | Yes / No                     |       |
| Reason for Selling/ Letting:  |                               |  |  |                                      |                              |       |
| Buy/ Rent to use the property as:   |                               |  |  |                                      |                              |       |
| <i>(Delete all the inapplicable words) ***</i>  |                               |  |  |                                      |                              |       |
| 4. Where will payments due be made? ***   |                               | Agency   | Attorney   | Seller                               | Landlord                     | Other |
| How will any payments due be financed? ****   |                               | SA Bank  | International transfer                                   | Bond                                 | Subject to sale /or Attorney | Cash  |
| Will any of the payments above involve a payment of <b>R50 000 or more in cash</b> (i.e., paper money, coins, or traveller's cheques)?  |                               |  |  |                                      |                              |       |
| <i>(Circle all the applicable words) *** (You may pick more than one method/combination of finance) ****</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     | Other:   |  |                                      |                              |       |
| <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   |                               |  |  | 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" 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 "YES" Please complete the above)</i>   |                               |  |  |                                      |                              |       |
| If you responded "yes" to any of the previous 3 questions, please indicate your source of wealth.   |                               |  |  |                                      |                              |       |
|   |                               |  |  |                                      |                              |       |

\* 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 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 to us so that 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 (company)

Date

Signature

**FOR OFFICE (PPB) USE ONLY**

|                                       |  |  |                               |  |   |
|---------------------------------------|--|--|-------------------------------|--|---|
| <b>Transaction name</b>               |  | <b>Transaction date</b><br>(contract signed) | <b>Transaction amount</b>     | <b>Transaction type</b><br>(Lease/Sale)              | <b>Date: TFS List</b><br>Screening done |
| <b>Property Practitioner involved</b> |  | <b>Date FICA done</b>                        | <b>FIC Compliance Officer</b> | <b>The client has a previous FICA record with us</b> |   |

**Notes / List Of Outstanding Requirements:**


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

Note: FCO must review the blocks keeping in mind the possible National, Sector, Company and Client Risk that is applicable in our office.

| Client Type                     | proposed rating | Rate | Products / Services             | proposed rating | Rate | Geographical                     | proposed rating | Rate |
|---------------------------------|-----------------|------|---------------------------------|-----------------|------|----------------------------------|-----------------|------|
| Proof of info "Eager/Difficult" | 1/3             |      | Bond / Bond & Deposit (SA Bank) | 0               |      | Provided Proof of Address (easy) | 0               |      |
| Natural person Easy access      | 0               |      | Bond & Subject to sale (Where)  | 1/2             |      | From the same/similar area       | 0               |      |
| Simple/complex legal entity     | 1/3             |      | Transaction paid via EFT        | 0/2             |      | SA Citizens living/work abroad   | 1/3             |      |
| Answered "yes/no" to Q 5-7      | 1/3             |      | Third-party payments            | 1/3             |      | From another province            | 0/1             |      |
| Negatively in media             | 1/3             |      | "Unusual" payments              | 2/3             |      | From low-risk/ high-risk country | 1/3             |      |
| Tenant - consistent payment     | 0               |      | Cash into acc R50 000 or more   | 3               |      | From weak regulatory oversight   | 2/3             |      |
| Tenant "large sums of R"        | 1/3             |      | Cross-border flow of money      | 1/3             |      | Do not mind location/overprice   | 1/3             |      |
| Setting up a trust /shell co    | 1/3             |      | Rental scheduled payments       | 0               |      | Your office is less 200km/border | 1/3             |      |
| Uneven Transactional pattern    | 1/3             |      | Rental – sudden large amounts   | 2/3             |      | Engage with sanctions regimes    | 2/3             |      |
| <b>Total rating</b>             |                 |      | <b>Total rating</b>             |                 |      | <b>Total rating</b>              |                 |      |

| Delivery channels                               | proposed rating | Rate | Other factors                 | proposed rating | 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               |      | ML/TF/PF possibility          | 1/3             |      | <b>Geographical area</b>       |  |       |      |
| Non -Face to face communication (with reason)   | 0/1             |      | TFS List Screening FIC WEB    | 0/3             |      | <b>Delivery channels</b>       |  |       |      |
| Non -Face to face (without reason)              | 2/3             |      | Client unemployed             | 1/2             |      | <b>Other factors</b>           |  |       |      |
|   |                 |      | No clear source of wealth     | 3               |      | <b>Low rate</b>                |  | 0-9   |      |
|   |                 |      | Involved with tenders         | 2/3             |      | <b>Medium rate</b>             |  | 10-19 |      |
| Change "client" name in process                 | 1/3             |      | Uncertain Strategy of entity  | 3               |      | <b>High rate</b>               |  | 20-   |      |
| Acting on behalf of PEP or PIP                  | 1/3             |      | Difference: Spending /Income  | 1/3             |      | <b>Total rating</b>            |  | Low   | Med  |
| <b>Total rating</b>                             |                 |      | <b>Total rating</b>           |                 |      | <b>Total rating</b>            |  | High  |      |

**RISK MONITORING, MITIGATION & MANAGEMENT**

Note: FCO must review the actions keeping in mind the possible National, Sector, Company and Client Risks that are applicable in our office.

| Controls in the proportion of risk   | Action (Never tip client off)         |  |   |
|--|---------------------------------------|--|---|
| <b>Low rate</b> (0 - 9)  | Simple due diligence is enough        |  | File & Keep 5 years (If changes happen, do again)     |
| <b>Medium rate</b> (10 – 19)   | Standard due diligence and open mind  |  | File, keep monitoring & Keep 5 years                  |
| <b>High rate</b> (20 and more)   | Enhanced due diligence and 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 to the FIC |                                       |  |   |

**REPORTING** (On goAML only by registered MLRO or FIC Compliance Officer with her/his updated credentials)

| Type   | Action (Never tip client off)                 | Timeframe      | NOTES |
|--|---|----------------|-------|
| STR – Suspicious or unusual Transaction Report | Report and continue with the transaction      | Within 15 days |       |
| CTR – Cash Threshold Report                    | Report & continue with the transaction        | Within 3 days  |       |
| TPR – Terrorist Property Report.               | Report & DO NOT continue with the transaction | Within 5 days  |       |

Based on: Guidance Note 7A, PCC 53 ON THE RMCP (SECTION 42 OF THE FICA, 2001 (ACT 38 OF 2001) FOR DNFBP &amp; Update by FICNov/Dec 2023 for PPB &amp; GENERAL LAWS (ANTI-MONEY LAUNDERING AND COMBATING TERRORISM FINANCING) AMENDMENT ACT, 2022

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You are not saying someone is a criminal – Reporting just something in the situation or transaction feels unusual.