**CLIENT QUESTIONNAIRE**

# NATURAL PERSON / SOLE PROPRIETOR

Please note that the information herein collected is required in terms of the Financial Intelligence Centre Act 2001 as amended and will be used for purposes stipulated within the FIC Act. In terms of the provisions contained in the POPIA 2013, and in line with the Privacy Policy of Trustspire Proprietary Limited, information herein completed will not be shared with third parties unless so indicated or unless it is necessary to give effect to your transaction and then only with other professionals involved in the transaction. Please note that some of the information you have supplied may need to be shared with outside authorities for formal verification purposes (such as the Deeds Office, FIC, SARS, the Court or similar) and your signature of this form constitutes your permission for Trustspire Proprietary Limited to share the information accordingly.

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| **FULL NAMES** |  |
| **ID/PASSPORT NUMBERS** |  |
| **CONTACT NUMBER** |  |
| **CONTACT EMAIL** |  |
| **RSA RESIDENT** | YES NO |
| **IF NON-RESIDENT, PLEASE CONFIRM THE PLACE OF PERMANENT RESIDENCY** |  |
| **IF FOREIGN, PLACE OF BIRTH** |  |
| **INCOME TAX NUMBER** |  |
| **PLEASE CONFIRM TAX BASE IF NOT SOUTH AFRICA** |  |
| **ADDRESS (DOMICILIUM)** |  |
| **EMPLOYER** |  |
| **EMPLOYER DETAILS** |  |
| **EMPLOYER ADDRESS** |  |
| **FICA QUESTIONS**  Client identification is an international requirement and we, an accountable institution as defined in the Financial Intelligence Centre Act and Regulations, are obliged to identify our Clients. In terms of sections 21, 21A, 21B, 21C and 21E of the FIC Act, we are also obliged to identify and verify: the source and origin of the cash monies.  **These questions below are compulsory** | |
| **MAIN OCCUPATION** |  |
| **INDUSTRY OF BUSINESS** |  |
| **OTHER INDUSTRIES OF BUSINESS** |  |
| **COUNTRIES OF TRADE** |  |
| **DO YOU HOLD INTEREST IN ANY ENTITY (COMPANY OR TRUST) REGISTERED ABROAD** |  |

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| **ARE YOU INVOLVED IN TRADING OF DUAL-USE GOODS SUBJECT TO EXPORT CONTROL OR IS THERE ANY CONNECTION WITH AN UNIVERSITY OR RESEARCH FACILITY INVOLVED IN TRADING OF DUAL-USE GOODS OR GOODS SUBJECT TO**  **EXPORT CONTROL?** | Examples of dual-use goods and technology include global positioning satellites, missiles, nuclear technology, chemical and biological tools, night vision technology, thermal imaging, some models of drones, aluminium pipes with precise specifications or certain kinds of ball bearings.  YES NO |
| **ARE YOU INVOLVED IN BUSINESS ACTIVITIES DIRECLTY OR INDIRECTLY LINKED WITH THE MANUFACTURING OR SALE OF ARMS OR**  **WEAPONS?** | YES NO |
| **DOES YOUR BUSINESS ACTIVITIES INVOLVES TRASACTION IN LARGE AMOUNTS OF CASH?** | YES NO |
| **DOES YOUR PRODUCTS OF BUSINESS ACTIVITIES ALLOW FOR PAYMENT TO OR FROM THIRD PARTIES?** | YES NO |
| **SOURCE OF WEALTH**  e.g. salary income, business income, interest received, pension |  |
| **WILL YOU REQUIRE OUR FIRM TO PERFORM THE SERVICES IN TERMS OF A SINGLE TRANSACTION (ONCE-OFF ONLY) OR IN TERMS OF A BUSINESS RELATIONSHIP (MORE THAN ONE TRANSACTION OVER A CERTAIN PERIOD OF TIME)?** | SINGLE BUSINESS RELATIONSHIP |
| **ARE YOU A DOMESTIC OR FOREIGN Politically**  **Influential Person OR A FAMILY MEMBER OF SUCH A PERSON**  **\*This will be verified** | YES NO |
| *President or deputy president of South Africa; Cabinet minister or deputy minister; Premier of a province MEC of a province; Mayor of a municipality; Leader of a political party; Member of a royal family; Senior traditional leader; Head, accounting officer or CFO of a national or provincial; department; Manager or CFO of a municipality Chairperson, CEO, accounting authority, CFO or chief investment officer of a public entity, Judge Ambassador, high commissioner or other senior representative of a foreign country based in South Africa, Chairperson of board of directors, chairperson of audit committee, executive officer or CFO of a company doing more than the prescribed amount of business with Government.*  **FOREIGN PROMINENT INFLUENTIAL PERSON:** *Head of state, Member of a royal family; Cabinet member Senior member of a political party Senior judicial officer Senior executive of a state-owned entity; High rank in the military.* | |
| |  |  | | --- | --- | | **HAVE YOU EVER RESIDE IN A HIGH-RISK GEOGRAPHIC AREA LISTED BELOW** | YES NO | | *Albania, Barbados, Burkina Faso, Gayman Islands, Democratic Republic of the Congo, Gibraltar, Haiti, Jamaica, Jordon, Mali, Mozambique, Nigeria, Panama, Philippines, Senegal, South Sudan, Syria, Turkey, Tanzania, Uganda, United Arab Emirates, Yemen, Iran, Democratic People’s Republic of Korea, Myanmar* | | | |
| **PROTECTION OF PERSONAL INFORMATION** | |
| We respect your information and in compliance with the Protection of Personal Information Act our privacy policy can be accessed on request. You hereby agree that personal information provided to Mostert and Bosman may be processed and, shared with the professionals associated with the process, may be stored electronically or physically and that your personal information may be used for purposes of future services and/or to remain on the mailing list for articles/newsflashes to be sent and you agree to receiving any marketing material telephonically, per email or WhatsApp or otherwise. YES NO   |  | | --- | | Date | | |

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| **FOR OFFICE USE:**  **INDIVIDUAL VERIFICATION DOCUMENTS**  **Please take note that we require documentary proof for verification purposes of the following items (only the ticked items are to be provided):**  Copy of Green bar-coded South African ID/card or Passport if foreign and/or Residency VISA if applicable Marriage Certificate and Antenuptial Agreement if applicable  Proof of Address (in the form of a utility bill, telephone account, lease agreement or alternatives issued by a 3rd party)  **In addition to the above, please take note that we may require documentary proof for verification purposes at any stage of the transaction or business relationship of the following:**  Tax Clearance/Official document from SARS confirming your Income Tax Number (if requested)  Proof of Source of Income  Information regarding Source of Wealth (only if required) |
| **Sources of information used to corroborate a person’s identity**  Department of Home Affairs Companies and Intellectual Proerty Commission (CIPC) South African Revenue Service eNaTIS Master of High Court Transunion Experian Windeed Worldcheck Other |
| **SCRUTINISING CLIENT INFORMATION AGAINST TARGETED FINANCIAL SANCTIONS LISTS**  All prospective and current clients must be scrutinised against the TFS lists  To scrutinise the TFS lists click here: <https://www.fic.gov.za/International/sanctions/Pages/search.aspx>   |  |  | | --- | --- | | **Is the person listed on the TFS list?** | YES NO | |
| Date |