

## The Financial Intelligence Centre Act (FICA): Client Due Diligence (CDD) Natural Person

To comply with money laundering regulations, we require certain identification details and documents to be in place in order for a transaction to be processed. Incomplete details and documentations will delay the processing of an application and a business relationship cannot be formed until all the documentation including any additional information (if requested), had been provided.

What is your full name (As per your Identity Doc/Passport)?	
Are you a South African citizen/permanent resident?	
What is your address of your main place of residence?	
What is your telephone number?	
What is your email address?	
Do you have a South African Income Tax number issued by SARS? If so, please provide the number.	
If you are dealing with Broll Auctions And Sales on behalf on another person, please indicate your authority to do so (Authorisation letter, power of attorney, resolution or a similar instrument) and provide us with a copy of such document.	
If, following your completion of this CDD will someone else deal with Broll Auctions And Sale on your behalf (i.e. a representation), what is the representative's full names and SA Identity or Foreign passport number.	
Please describe the type of service you seek from Broll Auctions And Sales, and the purpose for which that service is sought.	<input type="checkbox"/> Rental premises <input type="checkbox"/> Transaction <input type="checkbox"/> Other:
How will any payments due to Broll Auctions And Sales, or the other party to the prospective Business Relationship, to be financed?	
Will any of the payments referred to in the previous question involve a payment by you or your representative of R 25 000 or more in cash (i.e. Paper money, coins or travelers cheques)?	<input type="checkbox"/> YES  <input type="checkbox"/> NO
Do you now occupy, or have you in the past 12 months occupied, any of the following positions in any country other than South Africa? If "Yes", please indicate the position that you occupy/ied	<input type="checkbox"/> Head of State <input type="checkbox"/> Member of the Royal family <input type="checkbox"/> Cabinet member <input type="checkbox"/> Senior member of a political party

	<input type="checkbox"/> Senior judicial officer <input type="checkbox"/> Senior executive of a state-owned entity <input type="checkbox"/> High rank in the military
Do you now occupy, or have you in the past 12 months occupied, any of the following positions in South Africa? If "Yes", please indicate that position that you occupy/ied	<input type="checkbox"/> President or deputy president of South Africa <input type="checkbox"/> Premier of a province <input type="checkbox"/> Mayor of a municipality <input type="checkbox"/> Leader of a political party <input type="checkbox"/> Member of a Royal family <input type="checkbox"/> Senior traditional leader <input type="checkbox"/> Head accounting officer or CFO of a national or provincial department <input type="checkbox"/> Manager or CFO of a municipality <input type="checkbox"/> Chairperson, CEO, accounting authority, CFO or chief investment officer or a public entity <input type="checkbox"/> Judge <input type="checkbox"/> Ambassador, high commissioner or other senior representative of a foreign country based in South Africa <input type="checkbox"/> Chairperson of board of directors, chairperson of audit committee, executive officer or CFO of a company doing more than <b>(INSERT AMOUNT ONCE GAZETTTED)</b> worth of business with the government
Are you a family member or a close associate of one of the categories of people mentioned in the previous 2 questions? If, so please name such person and indicate the position they occupied	
If you responded "Yes" to any of the previous 2 questions, please indicate your source of wealth	
Proof of your residential address can be furnished by way of a document emailed to you.	

**CLIENT'S SIGNATURE**

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**PRINT CLIENT FULL NAME**

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**DATE**

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FOR OFFICE USE	
FULL NAME OF EMPLOYEE	
SIGNATURE	
DATE	

**BROLL AUCTIONS AND SALES CHECK LIST:**

COPY OF DOCUMENT/S PROVING IDENTITY PROVIDED:  YES  NO

COPY OF DOCUMENT/S PROVING ADDRESS PROVIDED:  YES  NO

COPY OF DOCUMENT PROVING AUTHORITY PROVIDED:  YES  NO  N/A

COPY OF DOCUMENT DELEGATING AUTHORITY PROVIDED:  YES  NO  N/A

IS THERE ANYTHING SUSPICIOUS OR UNUSUAL TO NOTE:  YES  NO

IS THE PROPOSED TRANSACTION CONSISTANT WITH OUR KNOWLEDGE OF THE CLIENT  YES  NO

LIST OF OUTSTANDING REQUIREMENTS:

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