

### Self Certification Letter For Non Employed Workers

In connection with the provision of my services to Standard Chartered Bank ("SCB") and or its entities as a Non Employed Worker, I will be required to provide the following declarations as part of the screening process [on behalf of my employer] by SCB and or its entities or its appointed service providers. The service providers shall handle my personal data only to the extent necessary to carry out the screening and only in accordance with SCB's and or its entities instructions and policies and procedures. RAPHAEL PEHIPOL [Full legal name of prospective non employed worker] hereby confirm and make the following declarations:

- i. Have you been untruthful or inaccurate in any information which you have provided to Group in your CV and in any forms and online submissions?

Yes ☐  
No ☒

- ii. Have you been untruthful or inaccurate in any statements and declarations you have made in relation to your identity, address, employment history and qualifications?

Yes ☐  
No ☒

- iii. That I do not have any previous criminal convictions for fraud, any form of financial wrongdoing or misdemeanour or any other offence, save for a minor non-imprisonable road traffic offence.

Yes ☒  
No ☐

- iv. Are you subject to any *current* criminal proceedings?

Yes ☐  
No ☒

- v. Have you been adjudicated as bankrupt or, have you had or do you now have any financial judgments against you in civil courts for unpaid debts (e.g., child support, gambling debt, credit card debt, unpaid rent, etc.)?

Yes ☐  
No ☒

- vi. Are you aware of any proceedings that have begun, or anybody's intention to begin proceedings against you for a judgment debt, or which may result in a judgment debt? (A "judgment debt" is a legal obligation to pay a debt, which is enforced by a judgment or through some other judicial process. In short, do you know of anybody's intention to sue you for money they believe is owed to them?)

Yes ☐  
No ☒

- vii. That I have the legal right to reside and work in the MALAYSIA (name the country)

Yes ☒  
No ☐

viii. Do you have any names, other than your legal name shown above, that you are currently known by?

Yes ☐  
No ☒

Name(s) Commonly Known By:

ix. Do you have any previous legal names? If yes, please provide the legal names and the dates of name change other than your name shown above.

Yes ☐  
No ☒

Previous Name(s)	Reason for Name Change(s)	Date of Name Change(s)
<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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I confirm that I have no previous names



Please note that you may be required to provide supporting documentation in connection with any of the above declarations.

**Declaration: Outside Business Interests**

Outside Business Interests (OBI) include activity, employment or other relationships including investments in private unlisted companies, outside of your intended employment with the Group. Examples of OBI include the following:

- Being employed, other than by the Group
- Receiving remuneration or compensation other than from the Group
- Being a director (executive or non-executive) or Corporate Secretary or trustee of a company (both public and private), or partner (including limited partnerships) or sole proprietor outside the Group
- Holding a role (such as an officer or director) with an entity wholly or partly owned or controlled by a Government
- Acting as a consultant

- Holding, or standing for, a political position (political position includes legislative, administrative or judicial positions of any country or territory at the international, national, federal, state or local level)
- Having any shareholding interests or investments in a private unlisted company including a family owned businesses or company (irrespective of the amount and percentage of the investment)
- Holding a directorship of a not-for-profit organisation or being a member of a finance/investment/audit/endowment committee or officer involved in the finances or investment-related decisions of the not-for-profit organisation
- Holding a writing, speaking or teaching position whether the engagement is formal/contractual and the commitment is continuous/ongoing, regardless of whether remuneration is received a not

Generally, you do not need to declare outside activities involving volunteer work or charitable acts of service which are not subject to a formal appointment or contract. For example, volunteering at a retirement or senior citizens association or at a religious organization.

- x. Do you have any Outside Business Interests locally or overseas? If yes, your local Talent Acquisition team will be contacting you to complete the Manual OBI Declaration Form.

Yes ☐  
No ☒

The purpose of the following disclosures is to ensure that the Group's recruiting and candidate assessment processes are independent and that any of the Group's Staff who are involved in your assessment are not in a position of conflict and handle these processes in accordance with the Group's internal policies and procedures. The following disclosures are made to the Talent Acquisition team on a confidential basis and will only be shared with other Staff members if it is necessary to ensure your assessment is done on an independent basis.

#### **Declaration: Close Personal Relationships**

The Group considers a "Close Personal Relationship" to include two or more members of Staff being members of the same "Immediate Family".

"Immediate family" includes the following relationships: spouse (including legal or co-habiting partner); parents, parents-in-law, grandparents, children or grandchildren, siblings, son-in-law or daughter-in-law, brother-in-law or sister-in-law, (first) cousin, aunt/uncle, niece/nephew, guardian/ward. It also includes any relationships between Staff because of:

- adoption;
- stepfamily arrangements;
- financial dependence i.e. where one is financially dependent on the other;
- co-residency, in particular Staff living in the same household;
- boyfriend or girlfriend relationships.

- xi. Do you have a Close Personal Relationship with any Staff member based on the above? If yes, your local Talent Acquisition team will be contacting you to provide the details in the relevant form.

Yes ☐  
No ☒

#### **Declaration: Close Financial Relationships ("CFRs")**

**A CFR exists when both of the following are present:**

- There is a financial relationship.** A financial relationship exists between two or more people when a financial benefit\* flows between them.
- The financial relationship is close.** A financial relationship is close if the relationship exists between two or more members of Staff of the Group.

\*The financial benefit may flow between persons pursuant to a contractual arrangement or informally by action or acknowledgement between individuals. The financial benefit may result from a single transaction or from an ongoing series of transactions over time.

- xii. Do you have a Close Financial Relationship with any Staff member based on the above? If yes, your local Talent Acquisition team will contact you to provide the details in the relevant form.

Yes ☐  
No ☒

#### **Declaration: Politically Exposed Persons ("PEPs")**

A PEP is an individual who has been entrusted with a prominent public function. Examples might include Heads of State or Government; senior politicians and government officials, both elected and appointed (including senior civil servants and diplomats); members of national/federal or state/province legislatures; senior judicial or military officials; important political party officials; and senior executives/directors of state owned corporations, including central banks.

The term "PEP" includes close associates or immediate family members of a PEP:

A **close associate** includes an individual who has joint control of a legal arrangement or any other close business relations, with a person who is a Politically Exposed Person.

An **immediate family member** is a spouse; a partner; a parent; a son or daughter and their spouse or partner and parents-in laws

- xiii. Based on the definition above, are you a PEP?

Yes ☐  
No ☒

If you have answered "Yes" to the above question, please provide below the relevant details and/or attach any relevant documents.

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#### **Declaration: Client and Business Partner Connections**

A Client Connection is a strong, obvious and direct personal connection by the candidate (excluding distant, removed, or potential connection) to a prospective or existing client or business partner who is an immediate family member of the candidate, or, existing employee, including Non Employed Worker (NEW), and where the family member is in a position to confer benefits upon the Group.

This definition also includes where the prospective or existing client or business partner is a corporation and the individual being hired has immediate family members in the corporation and is in a position to confer benefits to the Group.

**Case example 1:** The father of the candidate is a Private Banking client of the Bank and the son has applied for a relationship management role in Private Bank in the same country as his father's account is conducted. The candidate (son) would be expected to self declare the Client Connection that his father is a Private Bank client.

**Case example 2:** The father of the candidate is Chief Financial Officer of a major corporation and that corporation is a major supplier or corporate client for the Group. In such a case the candidate may legitimately have no knowledge of that business relationship as the information is confidential and the father may not have divulged it. Clearly if the individual was hired and their role was subsequently interacting with the same corporation or involved in dealings with that supplier or corporate client, or had knowledge of the relationship, it would be reasonable to expect them to declare the client connection. However, if they were not interacting with that corporation and had no knowledge of that client in the Group's portfolio in their role, then it might not be reasonable to expect

them to declare an Outside Business Interest (OBI). In each case the facts would need to be considered in the investigation.

- xiv. To the best of your knowledge, do you have prospective or existing client or business partner connections or any immediate family members who have significant business relationship with the Group or who are employed by any of its regulators?

Yes ☐  
No ☒

If you have answered "Yes" to any of the above question, please provide below the relevant details and/or attach any relevant documents.

#### Declaration: Public Officials

A "Public Official" refers to:

- Any officer, employee or representative of a government, at any level, whether national, federal or local;
- Examples include regulators, legislators, customs officials, Central Bank governors, and ministers;
- Any individual exercising a legislative, administrative, regulatory, judicial or other public or official function, whether appointed or elected;
- Any officer, director, employee or representative, at any level, of any government or state owned or controlled entities, instrumentality or department;
- "Owned or controlled" refers to where the government or state has 50% or more ownership or board/voting control[1]
- Examples include sovereign wealth funds, utilities, hospitals, pension funds, publicly traded companies;
- Members of royal families;
- Representatives of political parties and political candidates;
- Any officer, employee or representative, at any level, of a public international organization (e.g. the EU, World Bank, IMF, UN).

A person does not cease to be Public Official by purporting to act in a private capacity (e.g. for a public company traded on a securities exchange) or by the fact that services are rendered without compensation.

Based on the above definition, are you a Public Official?

Yes ☐  
No ☒

I understand that if any of the above statements prove to be false, inaccurate or incomplete, Group may take all appropriate disciplinary measures in its discretion and may terminate my employment summarily without any notice or any payment in lieu of notice in accordance with applicable laws and regulations and that such action by the Group will be made without any further compensation or legal liability towards me.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

RAPHAEL ROSALES PEHIPOL

full legal name as shown on passport/identification document

**Date:** .....3/18/2017.....

In the presence of:

**Witness's Signature:** .....

**Witness's Full Name:** .....

**Witness's Occupation:** .....

**Witness's Full Permanent Address:** .....

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