

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

It is the policy of Credit Suisse AG (the “Bank”) to conduct background checks on all candidates commencing work with the Bank. As detailed in your offer letter, your employment is subject to the successful completion of the Bank’s background screening process and the verification of information about your background. This process requires the Bank to obtain references about you from past employers and, in certain cases, regulatory authorities, academic and professional bodies.

First Advantage is the appointed agent for **Credit Suisse AG** to conduct your employment background check.

Please answer ALL questions completely and honestly

Please provide information even if you believe we already have it. Information previously provided may be checked against information provided in this form. The deliberate or reckless provision of misleading or false information or omission of material information may affect your employment with the Bank.

All questions which are applicable must be answered. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatory to this form. Please tick (✓) in the relevant boxes where appropriate. If a question is not applicable to you, please mark “N.A.” in the space provided.

Your failure to complete this form in full is likely to delay your joining the Bank.

Important Notes			
The following supporting documents are required to be attached with the completion of this Background Screening Application (“BSA”). Please tick (✓) in the relevant boxes where appropriate.		No	Yes
1	Curriculum Vitae (CV) / Resume a. Please provide a copy of your Curriculum Vitae /Resume for verification.		
2	Employment Certificate (to validate start/end date and job title) a. Please provide a copy of your employment certificate for all previous employment declared. Alternatively, if this is not available, documents such as offer letter, exit letter, pay slip, bonus slip and business card can be provided.		
3	Tertiary Scroll/Certificate and Marks Sheet; Professional Qualifications/Licenses a. Please provide a copy of your tertiary scroll/certificate and marks sheet for verification. b. Please provide a copy of your professional qualifications/licenses for verification.		
Please provide reason/s if you have <u>NOT</u> included the above requested documents.			

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE**Personal Details**

Please give your name in FULL (as per your National Identity / Passport) and alternatives use where applicable.

Please provide your name in local characters in 'Other / Previous Names' if applicable. (E.g. Thai Script, Korean / Chinese characters, Japanese Kanji etc.)

Family Name (Last/Surname)		Given Name (First_Middle_etc.)	
Maiden Name (if applicable)		Other / Previous Names (if applicable)	
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Date of Birth	d d m m y y y y
Country of Birth		Nationality	
National Identity Number (if applicable)		Passport Number	
Representative Number (RNF) by Monetary Authority of Singapore			<input type="checkbox"/> NA
<p>If you have been registered with the Monetary Authority of Singapore (MAS) under the Representative Notification Framework to conduct regulated activity(ies) under the Securities and Futures Act and/or provided financial advisory services(s) under the Financial Advisers Act, please provide the Representative Number:</p> <p>_____</p>			

Please provide your Other/Local National Identity Number if you have lived or worked in the United States, Canada, Korea, Singapore, Malaysia, Thailand, the PRC or Taiwan within the last FIVE years.

United States SSN	<input type="checkbox"/> NA	Other National ID	<input type="checkbox"/> NA
Canadian SIN	<input type="checkbox"/> NA	Work / Visa / FIN Number	<input type="checkbox"/> NA

Contact Details

Telephone		Mobile Number	
Email Address			
Residential Address in Country of Birth			

Residential Address (es)

Please provide details of current, previous or alternate addresses during the past **FIVE** years (for period of stay 6 months and above), indicating clearly the Street Name/Number, State & City, Country, Postal Code, commencing with your current residence.

1	
2	
3	

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

Highest Educational Qualification - Attained / Conferred

Not Applicable ☐

Please state highest educational qualification attained / conferred. For educational qualification yet to be attained / conferred or currently pursuing, please use the next section.

Tertiary Scroll/Certificate & Marks Sheet - Please provide a copy of your degree/diploma scroll/certificate and marks sheet; as selected institutions require this documentation before verification of qualifications attained can be made.

Institution Name																	
Qualification Name																	
Type of Qualification	<input type="checkbox"/> Masters <input type="checkbox"/> Degree <input type="checkbox"/> Diploma <input type="checkbox"/> Certificate																
Date of Graduation	d	d	m	m	y	y	y	y	Student / Roll Number								
Dates of Study (From)	d	d	m	m	y	y	y	y	Dates of Study (To)	d	d	m	m	y	y	y	y
Address of Institution									Telephone Number								
Did you attain the Qualification?	<input type="checkbox"/> Yes <input type="checkbox"/> No								Was this an External / Long-Distance course?	<input type="checkbox"/> Yes <input type="checkbox"/> No							

Highest Educational Qualification - Yet To Attained / Currently Pursuing

Not Applicable ☐

Institution Name																	
Qualification Name																	
Type of Qualification	<input type="checkbox"/> Masters <input type="checkbox"/> Degree <input type="checkbox"/> Diploma <input type="checkbox"/> Certificate																
Anticipated Date of Graduation	d	d	m	m	y	y	y	y	Student / Roll Number								
Dates of Study (From)	d	d	m	m	y	y	y	y	Dates of Study (To)	d	d	m	m	y	y	y	y
Address of Institution									Telephone Number								

NOTE: If you have previously undertaken a tertiary course which you did not complete and which you do not intend to complete, you should not include such a course. Only completed/attained/conferred qualifications and those courses which you are currently undertaking (with the intention to complete) should be included in the tables above.

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

Professional Qualifications / Licenses – Attained				Not Applicable <input type="checkbox"/>							
Institution		Date of Qualification		d	d	m	m	y	y	y	y
Qualification / Membership		ID # / Membership # (if applicable)									
Address		NASD_CRD ID# (if applicable)									
Telephone		Microsoft IT_MCP ID# (if applicable)									

Professional Qualifications / Licenses - Attained				Not Applicable <input type="checkbox"/>							
Institution		Date of Qualification		d	d	m	m	y	y	y	y
Qualification / Membership		ID # / Membership # (if applicable)									
Address		NASD_CRD ID# (if applicable)									
Telephone		Microsoft IT_MCP ID# (if applicable)									

Directorship and Shareholdings	Not Applicable <input type="checkbox"/>
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Please provide details of any directorship or shareholdings (5% or more of the total number of voting shares) held in any corporation including sole proprietor/partnership/companies.

Name of Corporation and place of incorporation	Nature of Business	Directorship (executive/non-executive)	Appointment / Acquisition Date (dd/mm/yy)	Percentage shareholding in corporation

No.	Declaration Questions	NO	YES
A	Is there / will there be any potential areas of conflicts of interest arising from your proposed duties as a representative/employee of Credit Suisse AG or any of its affiliates and your directorship(s) and/or shareholding(s).		
B	Do you or any corporation in which you control not less than 20% of the total number of voting shares, have a beneficial interest whether direct or indirect, in not less than 5% of the total number of voting shares of any corporation listed for quotation or quoted on a securities exchange?		
C	Are any of the corporations in which you hold a directorship(s) and/or shareholding(s) licensed or exempt entities regulated by any authority which supervises the provision of financial services in (a) the jurisdiction you will be employed in and/or (b) any other jurisdictions? If yes, please specify the name (s) of the authority?		

Please provide details if you answer "Yes" to the above questions:

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE**Employment History**Not Applicable ☐

Please provide details of all employments (including internship) over the last **FIVE YEARS** in descending order beginning from the most recent employment. Details of any period of unemployment, self employment, career breaks, etc. within the last FIVE YEARS should be provided. Previous employers will be contacted to verify your employment history. Please provide full names, addresses and, where possible, the telephone number of each employer. Do not use initials or abbreviations.

Current or Most Recent Employer (1)Please indicate if we may contact your current employer - ☐ **Immediately** or ☐ **Not Until**¹

d	d	m	m	y	y	y	y
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¹ Background check should commence immediately. Any delay may affect the completion of screening which lead to a delay in your commencement date with Credit Suisse.

Company Name		Employee ID Number	
Address		Telephone Number	
Department/Branch		Location / Country (where you are based)	
Last Functional Title (Ops Mgr etc.)		Last Corporate Title (MD, VP, Analyst etc.)	
Reason for Leaving	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary ²	Line Manager's Name	

²Please provide reason for Involuntary leaving: _____

Period of Employment	From	d	d	m	m	y	y	To	d	d	m	m	y	y
Types of Employment	<input type="checkbox"/> Permanent <input type="checkbox"/> Internship <input type="checkbox"/> Consultant <input type="checkbox"/> Self Employed <input type="checkbox"/> Temporary/Contracting (via Agency ³ , please provide details below)													
³Agency Name	Branch / Address	Email Address						Telephone						

Employment Gaps (Please provide details of your activities for all gap periods between employer 1 & 2)

From (mm/yy)	To (mm/yy)	Details

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

Previous Employer (2)																			
Company Name						Employee ID Number													
Address						Telephone Number													
Department/Branch						Location / Country (where you are based)													
Last Functional Title (Ops Mgr etc.)						Last Corporate Title (MD, VP, Analyst etc.)													
Reason for Leaving	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary ²					Line Manager's Name													
² Please provide reason for Involuntary leaving: _____																			
Period of Employment						From	d	d	m	m	y	y	To	d	d	m	m	y	y
Types of Employment	<input type="checkbox"/> Permanent <input type="checkbox"/> Internship <input type="checkbox"/> Consultant <input type="checkbox"/> Self Employed <input type="checkbox"/> Temporary/Contracting (via Agency ³ , please provide details below)																		
³ Agency Name	Branch / Address					Email Address					Telephone								
Employment Gaps (Please provide details of your activities for all gap periods between employer 2 & 3)																			
From (mm/yy)				To (mm/yy)				Details											

Previous Employer (3)																			
Company Name						Employee ID Number													
Address						Telephone Number													
Department/Branch						Location / Country (where you are based)													
Last Functional Title (Ops Mgr etc.)						Last Corporate Title (MD, VP, Analyst etc.)													
Reason for Leaving	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary ²					Line Manager's Name													
² Please provide reason for Involuntary leaving: _____																			
Period of Employment						From	d	d	m	m	y	y	To	d	d	m	m	y	y
Types of Employment	<input type="checkbox"/> Permanent <input type="checkbox"/> Internship <input type="checkbox"/> Consultant <input type="checkbox"/> Self Employed <input type="checkbox"/> Temporary/Contracting (via Agency ³ , please provide details below)																		
³ Agency Name	Branch / Address					Email Address					Telephone								
Employment Gaps (Please provide details of your activities for all gap periods between employer 3 & 4)																			
From (mm/yy)				To (mm/yy)				Details											

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

Previous Employer (4)																			
Company Name						Employee ID Number													
Address						Telephone Number													
Department/Branch						Location / Country (where you are based)													
Last Functional Title (Ops Mgr etc.)						Last Corporate Title (MD, VP, Analyst etc.)													
Reason for Leaving	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary ²					Line Manager's Name													
² Please provide reason for Involuntary leaving: _____																			
Period of Employment						From	d	d	m	m	y	y	To	d	d	m	m	y	y
Types of Employment	<input type="checkbox"/> Permanent <input type="checkbox"/> Internship <input type="checkbox"/> Consultant <input type="checkbox"/> Self Employed <input type="checkbox"/> Temporary/Contracting (via Agency ³ , please provide details below)																		
³ Agency Name	Branch / Address					Email Address					Telephone								
Employment Gaps (Please provide details of your activities for all gap periods between employer 4 & 5)																			
From (mm/yy)				To (mm/yy)				Details											

Previous Employer (5) (use a continuation page if necessary)																			
Company Name						Employee ID Number													
Address						Telephone Number													
Department/Branch						Location / Country (where you are based)													
Last Functional Title (Ops Mgr etc.)						Last Corporate Title (MD, VP, Analyst etc.)													
Reason for Leaving	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary ²					Line Manager's Name													
² Please provide reason for Involuntary leaving: _____																			
Period of Employment						From	d	d	m	m	y	y	To	d	d	m	m	y	y
Types of Employment	<input type="checkbox"/> Permanent <input type="checkbox"/> Internship <input type="checkbox"/> Consultant <input type="checkbox"/> Self Employed <input type="checkbox"/> Temporary/Contracting (via Agency ³ , please provide details below)																		
³ Agency Name	Branch / Address					Email Address					Telephone								
Employment Gaps (Please provide details of your activities for all gap periods between employer 5 & 6)																			
From (mm/yy)				To (mm/yy)				Details											

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

Declaration

In relation to the conduct of any activity regulated by any financial regulatory bodies, the authorities expect all relevant persons employed by Credit Suisse AG to be competent, honest, to have integrity and be of sound financial standing in accordance with any Fit and Proper requirements as issued by the relevant Authority.

If you have any doubt with respect to any question and/or to your responses below, please approach your Human Resources officer for clarifications.

When completing this questionnaire, you should not disclose any information that would violate (i) any obligation of confidentiality owed by you towards a former employer, former client or any other person and/or (ii) your personal obligation to observe the banking secrecy restrictions under any Act and/or other regulations of any country. You are to notify Human Resources in the event you have withheld any information for the aforementioned reasons.

Please answer ALL the questions and provide details at the end of the section for all questions answered “Yes”.

No.	Declaration Questions	NO	YES
1	Have you ever been refused entry to a foreign country?		
2	Do you have any relatives currently employed at Credit Suisse AG or any other member of the Credit Suisse Group globally?		
3	Do any of your relatives (whether or not working with the Credit Suisse Group) work in occupations or otherwise engage in any activities which as a result of their relationship with you, may give rise to a potential conflict with your proposed regulated activities or financial advisory services? For this purpose, a conflict may arise if as a result of your connection with one of your relatives, your ability to discharge the fair dealing responsibilities to clients and/or the Bank's ability to provide services of the highest quality to clients is impaired?		
4	Are you subject to any restrictive covenant, or any other restrictions, with respect to your employment with Credit Suisse AG?		
5	<p>Are you a current Government Official or former officer or employee of a government?</p> <p><i>Please note that you should answer ‘Yes’ to this question if you are:</i></p> <ul style="list-style-type: none"> • A current or former officer or employee of a government, including its departments, agencies, instrumentalities and companies in which the government owns more than 50% of the entity or the government otherwise exercises control over the entity (e.g., via board membership, control in fact, veto rights, or some other factors known to Credit Suisse); • A current or former officer or employee of any regulatory entity (e.g., a customs or tax authority), judicial authority (e.g., judges, law clerks) or enforcement agency; • A person, even if not a government employee, who nevertheless is currently acting or previously acted in an official capacity for or on behalf of any government, government entity or public international organization (e.g., an official advisor to the government); • A current or former officer or employee of a public international organization (e.g., the United Nations, or multilateral development banks like the World Bank, Inter-American Development Bank, Asian Development Bank, etc.); • A current or former officer or employee of a political party or any party official; • A current or former political officeholders, including executive and legislative officeholders; or • A candidate for political office. 		

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

No.	Declaration Questions (continued)	NO	YES
6	<p>Are you related to a current or former Government Official or the relative of a Government Official?</p> <p><i>(Please note that you should answer 'Yes' to this question if you are related by birth, blood or marriage to a current or former Government Official. Government Official in this case means public servants, statutory boards and / or State Owned Enterprise.)</i></p>		
Financial Soundness			
7	Have you ever been or are you currently unable to fulfil any of your financial obligations, in any jurisdiction?		
8	Have you ever entered into a compromise or scheme of arrangement with your creditors, or made an assignment for the benefit of your creditors, being a compromise, scheme of arrangement or assignment that is still in operation, in any jurisdiction? For this purpose "your creditors" includes creditors of any corporation or body corporate in which you hold more than 5% of the voting rights or any business in which you are a partner.		
9	Have you ever been or are you currently subject to a judgment debt which is unsatisfied, either in whole or in part, in any jurisdiction?		
10	Have you ever been or are you the subject of a bankruptcy petition, in any jurisdiction?		
11	Have you ever been adjudicated a bankrupt in any jurisdiction?		
12	Have you ever been or are you currently subject to any other process in any jurisdiction that is similar to those referred to in (8) and (9)?		
Honesty, Integrity and Reputation			
13	Have you ever been charged and/or convicted of any offence, served any term of imprisonment or are you currently subject to any pending proceedings which may lead to a conviction of any offence, under any law in any jurisdiction?		
14	Have you been the subject of any proceedings of a disciplinary or criminal nature or been notified of any potential proceedings or of any investigation which might lead to such proceedings, under any law in any jurisdiction?		
15	Have you ever been the subject of any investigation or disciplinary proceeding or been issued a warning or reprimand by any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, in any jurisdiction?		
16	Have you ever contravened or abetted another person in breach of any laws or regulations, business rules or codes of conduct, in any jurisdiction?		
17	Have you ever been dismissed or asked to resign from office, employment, a position of trust, or a fiduciary appointment or similar position, in any jurisdiction?		
18	Have you ever been subject to disciplinary proceedings by your former employer(s) and/or reported to any regulatory authority for misconduct, in any jurisdiction?		

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

Honesty, Integrity and Reputation (continued)		NO	YES
19	Have you ever been disqualified from acting as a director or disqualified from acting in any managerial capacity, in any jurisdiction?		
20	Have you ever been or are you currently a director, partner, substantial shareholder or concerned in the management of a business (whether as an employee or in another capacity) that has been censured, disciplined, prosecuted or convicted of a criminal offence, or that has or is currently the subject of any disciplinary or criminal investigation or proceeding, in any jurisdiction, in relation to any matter that took place while you were a director, partner, substantial shareholder or concerned in the management of such business?		
21	Have you ever been or are you currently a director, partner, substantial shareholder or concerned in the management of a business (whether as an employee or in another capacity) that has been suspended or refused membership or registration by any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, in any jurisdiction?		
22	Have you ever been or are you currently a director, partner, substantial shareholder or concerned in the management of a business (whether as an employee or in another capacity) in any jurisdiction that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, you were a director, partner, substantial shareholder or concerned in the management of such business?		
23	Have you ever been licensed, registered or approved under any law in any jurisdiction which requires licensing, registration or approval in relation to any regulated activity?		
24	Have you ever been licensed, registered, or otherwise authorised by law to carry on any trade, business (including sole proprietorships and partnerships) or profession (including, accountancy, engineering, law and architecture) in any jurisdiction?		
25	Have you ever been a shareholder of any corporation which holds membership of any class or description of any operator of a market or clearing facility in any jurisdiction?		
26	Have you ever carried on business in any jurisdiction under any name other than your name as stated in the "Personal Details" section of this BSA?		
27	Have you ever been refused the right or restricted in the right to carry on any trade, business or profession in any jurisdiction for which a specific licence, registration or other authorisation is required by applicable law?		
28	Have you ever been issued a prohibition order under any Act administered by any authority or otherwise been prohibited from operating a trade or business or carrying out any activity in any jurisdiction by any financial services regulatory authority?		
29	Have you ever been censured, disciplined, suspended or refused membership or registration by any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, in any jurisdiction?		

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE

Honesty, Integrity and Reputation (continued)		NO	YES
30	<p>Have you been the subject of any complaint relating to activities that are regulated by any authority or under any law in any jurisdiction?</p> <p><i>(Please note that you should answer 'Yes' to this question if a client or former client of any of your former employers has made a complaint to any person (including you, your former manager or employer, any regulatory or law enforcement authority) regarding your professional conduct, business activities and/or the activities of others in connection with account(s) or for matter(s) for which you were responsible for and/ or associated with at the relevant time. You should disclose such complaint irrespective of whether or not the complaint has been resolved or is still pending, a formal investigation was carried out, legal proceedings were commenced, any regulatory authority was notified or a finding of wrong doing or misconduct was made against you).</i></p>		
31	Have you ever had any civil penalty enforcement action taken against you by any regulatory authority under any law in any jurisdiction?		
32	Have you ever been an officer found liable in any jurisdiction for an offence committed by a body corporate as a result of the offence having proved to have been committed with your consent or connivance of, or neglect attributable to you?		
33	Have you ever had any judgment (in particular, that is associated with a finding of fraud, misrepresentation or dishonesty against you) entered against you in any civil proceedings in any jurisdiction or are you currently a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction?		
34	Have you ever accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction?		
35	Have you been refused a fidelity or surety bond in any jurisdiction?		

Declaration	
Question Number	Details - for all questions answered "Yes"

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE**Declaration**

Important - *Please read carefully, sign and date*

To the best of my knowledge, the statements and/or information that I have provided above are true, correct, and complete and I make them freely without any reservations. I hereby authorize Credit Suisse AG or any of its affiliates, and any persons or organizations acting on its behalf to verify information presented in my background screening application and to procure an employment report or an investigative report for that purpose. I understand that such a report may contain information about my background, character and personal reputation. I further understand and agree that, in the event of my employment, an employment report or investigative report may be procured in connection with subsequent employment decisions. I hereby release from liability all persons or entities requesting or supplying such information. Moreover, I understand that my employment with the Company may be terminated with immediate effect should any information provided herein be proven untrue.

Signature: _____

Name: _____

Date (dd/mm/yy): _____

BACKGROUND SCREENING APPLICATION (BSA) – APAC EMPLOYEE**Letter of Authorization**

Important - *Please read carefully, sign and date*

I hereby authorize First Advantage to verify information provided in my resume and application of employment, and to conduct reference checks and other enquiries regarding my background, character and personal reputation. I authorize all persons who may have information relevant to First Advantage's enquiries to disclose it to First Advantage. I release all such persons from liability on account of such disclosure to First Advantage. I am willing that a photocopy of this authorization be accepted with the same authority as the original.

Signature: _____

Name: _____

Date of Birth (dd/mm/yy): _____

National Identity Number: _____

Passport Number: _____

Date (dd/mm/yy): _____