

Self Certification Letter

I SUBASH KRISHNAPPA (full legal name as shown on passport/ identification document) hereby confirm and declare in connection with my application for the position of TEST LEAD with STANDARD CHARTERED GBS [include Standard Chartered Global Business Services Pvt Ltd Branch details] or any member of the Standard Chartered Global Business Services Pvt Ltd (the Group we or us) that:

- i. The information which I have provided to Group in my CV and in any forms and online submissions, is true and accurate.
- ii. The statements and declarations I have made in relation to my identity, address, employment history and qualifications are true and accurate.
- iii. I do not have any previous criminal convictions for fraud, any form of financial wrongdoing or misdemeanour or any other offence. Non-imprisonable road traffic offences are not considered for this purpose.
- iv. I am not subject to any current criminal proceedings.
- v. I have not been adjudicated bankrupt and I do not have any financial judgments against me in the civil courts for unpaid debts.
- vi. I am not aware of any proceedings that have begun, or anybody's intention to begin proceedings, against me for a judgment debt or which may result in a judgment debt.
- vii. I have the legal right to reside and work in INDIA [include country of employment].
- viii. Please state any names, other than your legal name shown above, that you are commonly known by. If none, please write None.

Name(s) commonly known by:

NONE

- ix. Please state your previous legal names, other than your name shown above, during the preceding five (5) years. If none, please write None.

Previous legal name(s) during the preceding five (5) years

NONE

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

Signature # 2

: Subash

Name in Block Letters

: 15/05/2018, SUBASH KRISHNAPPA

Date (dd/mm/yy)

: 15/05/2018

x. Declaration: Politically Exposed Persons

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.

Includes close associates or immediate family members of a PEP:

A close associate might include 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 child and their spouse or partner and parents.

Are you a politically exposed person, (someone who has been entrusted with any prominent public function), or do you have any immediate family members or close associates who hold any prominent public function?

Yes No

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

xi. Declaration: Client Connections

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

This definition also includes where the existing client 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 Group 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 corporate client of the Bank. In such a case the candidate may legitimately have no knowledge of that banking 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 client facing to the same corporation or involved in dealings with that client, or had knowledge of the relationship, it would be reasonable to expect them to declare the client connection. However, if they were not client facing to 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.

To the best of your knowledge, do you have any immediate family members who have a significant business relationship with 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 the relevant details and/or attach any relevant documents.

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.

Signature # 3

: 

Name in Block Letters

: SUBASH KRISHNAPPA

Date (dd/mm/yy)

: 15/05/2018

Close Personal Relationship (CPR) Declaration

Do you have relative's working in Standard Chartered Global Business Services Pvt Ltd / SCB Group?

YES / NO ✓

If yes, Please provide the following details:

1. Name:

2. Relationship:

3. PSID:

Disclaimer: I hereby declare that all the information is true to the best of my knowledge and that any misrepresentation of facts by me in this application will render my appointment in the company null and void, de novo.

***Note:** In case of any change in the above details during the course of my employment with Scope, the same will be furnished to my Line Manager and to the HR immediately"

Outside Business Interest (OBI)

- Do you hold any Business Interest outside of your Current Role / Job ? Yes / No ✓

If yes

1. Whether the role is an executive or non-executive directorship, partnership or sole proprietorship

2. The estimated amount of time spent in the role (number of hours per month)

3. The estimated remuneration, where applicable

4. Whether the Staff is acting as a consultant or in the employment of another entity other than the Group

5. Whether the OBI is a Client of or service provider to the Group Yes / No ✓

6. If the role involves taking up a political position Yes / No ✓

● Do you have any Financial Investment in any kind of business venture? Yes / No ✓

● PEP / Client Connection Yes / No ✓

Place : BENGALURU


Date : 15/05/2018

.....
Signature

Letter of Consent and Authorization**To whomsoever it may concern**

I hereby authorize Standard Chartered Global Business Services Pvt Ltd and their agents, First Advantage Private Ltd or First Advantage to verify information provided in my pre-employment personal information form, and to conduct enquiries as may be necessary, at the company's discretion. I authorize all persons who may have information relevant to this enquiry to disclose it to Standard Chartered Global Business Services Pvt Ltd or First Advantage Private Ltd or First Advantage. I release all persons from liability on account of such disclosure. I am willing that a photocopy of this authorization be accepted with the same authority as the original.

I further understand that the background check with my current employer will be initiated at least 21 days prior to my date of joining with the Bank and I hereby give my consent in doing so.

Signature # 4: **Name in Block Letters**: SUBASH KRISHNA PPA**Date (dd/mm/yy)**: 15/05/2018

Declarations

I, SURASH KRISHNAPPA, son/daughter/wife of KRISHNAPPA, hereby undertake to comply with the below mentioned:

1. 'Dual employment'

I declare after joining Standard Chartered Global Business Services Pvt Ltd, I will not be continuing with any employment elsewhere effective the date of my joining.

Further, I am aware that, in the event of the Standard Chartered Global Business Services Pvt Ltd finding about my employment with anyone / entity or whosoever at any given point in time subsequent to my accepting the employment with Standard Chartered Global Business Services Pvt Ltd, the Bank reserves the right to terminate my employment or take appropriate action against me as it deems fit.

2. 'Medical fitness'

I hereby declare that I am medically fit and that I do not suffer from any serious illness or infection or any other terminal or communicable / infectious disease / illness prior to my accepting the said appointment / employment.

I further declare that if I am found to have suffered from any of the above and withheld this information prior to my appointment / employment with Global Business Services Pvt Ltd, the Bank can take appropriate disciplinary action against me.

3. 'No criminal record'

I hereby declare that I have no criminal record and that I do not have any criminal legal cases or investigations pending against me prior to my accepting employment at Standard Chartered Global Business Services Pvt Ltd.

I further declare that if I am found to have been involved in any criminal activity (and withholding of such information) prior to my accepting employment with Global Business Services Pvt Ltd and during my employment with Standard Chartered Global Business Services Pvt Ltd, appropriate disciplinary action can be taken against me.

4. 'Non-Bankruptcy'

I hereby declare that I am Solvent and have never filed for Bankruptcy prior to my accepting employment at Standard Chartered Global Business Services Pvt Ltd.

I further declare that if I have withheld any information about my financial insolvency and bankruptcy prior to my appointment / employment with Standard Chartered Global Business Services Pvt Ltd, appropriate disciplinary action can be taken against me.

Further Standard Chartered Global Business Services Pvt Ltd will not be accountable for any of my personal financial obligations.

5. Adherence to 'Do Not Disturb' process

I will make a sale related phone call to prospective/existing customers only after scrubbing their phone numbers with National Customer Preference Register (NCPR) of Telecom Regulatory Authority of India (TRA) and the 'Do Not Disturb' database of Standard Chartered Global Business Services Pvt Ltd and I undertake to follow all processes on the same.

6. 'Consent for sharing personal details'

I consent that my personal details like full name, birthdate, age, sex, address, phone numbers, educational qualifications etc can be held on record by you. I also consent that you may share the same with regulators, enforcement agencies, verification agencies, credit bureau, statutory authorities etc, if need be.

7. Group code of conduct

Conducting our business with the highest standards of ethics and integrity is essential to living up to the promise of Here for good. By doing things the right way, we can support our clients and customers while holding true to the values we believe in. Our group code of conduct (the Code) builds on our values and our brand promise. It guides you to the standards required to help you prove that we are Here for good.

If you are unsure about any aspects, please speak to a member of your management team, compliance or other relevant colleagues.

Commitment by staff

I hereby confirm that I have received, read and understood the Code and shall comply with it in my area of responsibility.

8. Health & safety (H&S) policy and practices

On my first day of work, I shall obtain / understand the following through my line manager;

- The names and contact details of the fire marshal/s at my floor. I understand that I need to be in touch with a Fire Marshal as soon as I detect fire and follow his/her instruction/s thereafter.
- The fire exit route/s from my workstation. In case of a fire, if a fire marshal instructs, I shall direct myself and other in affected area through the fire exit route to safe location.
- The first aider/s at my department / floor / nearest location. I shall be in touch with the nearest first aider in case myself or any of my colleagues is / are in need of first aid

I undertake to report any accident / incident occurred or potential hazard present in my workplace to my line manager / nearest property representatives.

9. 'Data & customer confidentiality and secrecy'

I recognize, accept and agree that all tangible and intangible information obtained or disclosed to me by our customers, including all details, documents, data, business/customer information and their practices and trade secrets (all of which are hereinafter collectively referred to as Confidential Information) which may be communicated to me shall be treated as absolutely confidential and I irrevocably agree and undertake to keep the same as secret and confidential and shall not disclose the same at all in whole or in part to any person or persons (including legal entities) at any time or use nor shall allow the Confidential Information to be used for any purpose other than as may be necessary for the due performance of my duties.

10. 'US citizenship' [Tick if applicable]

I confirm that I am a

US citizen ☐

Green card holder ☐

and I have been provided with a copy of the group sanction policies which I have read and understood

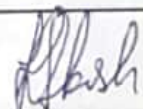
11. Wealth Products Management

I hereby declare and confirm that I will not advise, offer, refer, recommend, propose or solicit or introduce or bring up or generate leads for a specific Investment or Insurance product or show a list of specific Investment or Insurance products to customers till I have successfully completed all required certifications requirements as laid down by the Bank/ Regulator for Wealth Management Products.

I declare that all the Declarations made above are true to the best of my knowledge.

Yours truly,

Signature # 5

: 

Name in Block Letters

: SUBASH KRISHNAPPA

Date (dd/mm/yy)

: 15/05/2018

DATA PROTECTION AND PRIVACY STATEMENT

The Standard Chartered Group, i.e. Standard Chartered PLC, its subsidiaries and affiliates ('the Group'), respects the privacy of the information provided by you, or any other person, to the Group. This Statement explains how your information will be used and protected. It applies to information held about you now, or at any future date.

The Group must maintain information about you in connection with your employment. The information that may be held includes, but is not limited to: your C.V.; application form; references; appraisal and disciplinary records; salary, pension and benefits details; results of medical, security and financial checks; sickness records; personal contact details; bank account and tax details; and any other information relevant to the following purposes. If we are unable to hold such information about you, we may not be able to perform some or all of the purposes detailed below.

The Group may use your information for the following purposes:

- to appraise your job performance and make decisions about your promotion, training, transfer, redeployment or career development;
- to determine, calculate and review your salary, bonuses and any other staff benefits including pension entitlements;
- to process payment of your salary, other authorised expenses or benefits to your account or by any other means;
- to take appropriate action in event of emergencies;
- to comply with any statutory requests received from relevant public authorities/agencies;
- for any purpose required by law or regulation;
- for disciplinary purposes arising from your conduct or your ability to perform your job requirements;
- to provide references/reports to potential employers, financial institutions, legal representatives, and other appropriate bodies;
- to plan succession and talent management initiatives;
- to monitor compliance with regulatory requirements and the Group's internal policy requirements;
- to enable the Group to make decisions and/or policies concerning its employees generally;
- to enable auditors to conduct regular reviews of the Group's business and operations;
- to support any business, technical, administrative or security function required by the Group's operations, including, but not limited to: communication and processing systems; accident/ sickness insurance; security of staff, systems and premises (CCTV; card entry systems; IT security systems); telephone recording; contingency planning; systems development and testing; monitoring internet and telephone usage; business and financial, monitoring planning and decision making.

The Group may disclose your details to verify or obtain additional information about you from third parties including education institutions, present and past employers and credit reference agencies. Credit reference agencies keep details of searches. You can contact us to find out which agencies have been used.

For the purposes stated above, your information will be disclosed to authorised staff within the Group including Human Resources staff, your line and business managers, and their delegates. Other than those listed below, your information will not be disclosed to any external body unless you have consented or the Group is under a legal obligation or entitlement or other duty to do so:

- any agent, contractor or third party service supplier providing administrative, technical, legal and other services to the Group (such as telecommunications, computer development and support, data processing, recruitment, general insurance, pensions, accident and medical insurance, security services);
- any other person under a duty of confidentiality to the Group including, but not limited to, our external auditors and lawyers;
- any customer or other business contact of the Group where necessary for the Group's business activities;
- any lawyers/solicitors in connection with legal proceedings, to obtain legal advice, or to support the Group's legal rights;
- in the case of the merger or acquisition of all or any part of the Group's business, any actual or proposed purchaser, merger partner or subscriber for the Group's shares, or their legal and financial representatives.

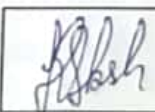
As an international organisation the Group manages its people resources on a global basis. Therefore your details will be available to authorised personnel in any country in which the Group operates. This may involve the transfer of your information to parts of the Group, its agents or third party service suppliers, located in countries that do not offer the same level of data protection as your home country. However, the Group will ensure that parties to whom your details are transferred agree to protect your information and store and process it in a secure manner. Such protection is established in Group policies, procedures and contractual arrangements with Group agents/service suppliers.

Your information may be held manually or electronically (eg. on local and global processing systems and databases; communication, payment, CCTV, card access and other systems), but will always be held securely. It will be retained by the Group for as long as there is a business need to hold the information or as required by legal, regulatory or accounting requirements or to protect the Group's interests.

The Group will comply with data protection legislation/privacy laws and have regard to codes of practice that apply to your information. It will ensure that your rights are upheld. If your information is subject to national laws that are more stringent than the terms of this Statement, the relevant national laws will apply. Under the laws of some territories (including the United Kingdom and Hong Kong), you may have the right to access information that the Group holds about you and to have it corrected where appropriate. These rights may extend to your information if it is transferred into such territories via the Group's global HR system or by any other means. Standard Chartered Global Business Services Pvt Ltd is the 'data controller' for any information processed in the UK. If you wish to access your information, determine your rights, or have any other questions concerning this Statement, please contact your country or regional HR Department.

I confirm that I have read and understood the above Data Protection and Privacy Statement

Signature # 6

: 

Name in Block Letters

: 15/05/2018, SUBASH KRISHNA PPA

Date (dd/mm/yy)

: 15/05/2018

HR/NJ/01-01

Date:

To,
Standard Chartered Global Business Services Pvt Ltd

Dear Sirs,

I have been engaged by the company as TEST LEAD

I confirm that during the continuance of my engagement with Company and at all times after its expiry or termination for any cause, I will keep secret and treat in strictest confidence all information or material (whether commercial, financial, technical or otherwise) which by its nature should be treated as secret and confidential or which the Company desires to protect against unauthorized disclosure or competitive use, or which is designed as such, including without limitation:

- a) Information relating to customers of the banks or financial institutions (including but not limited to members of the Standard Chartered Group) for whom the Company carried out operations processing services or the accounts of such customers or their transactions with any member of the Standard Chartered Group.
- b) Information relating directly or indirectly to the Company's Business or that of any other member of the Standard Chartered Group, including but not limited to details of trade secrets, know-how, strategies, ideas, operations, processes, methodologies and practices.
- c) Information relating directly or indirectly to the Company's plans, intentions, know-how, market opportunities and business affairs or those of any other member of the Standard Chartered Group or its customers (including potential customers) and clients.
- d) Works of authorship, products and materials written and prepared by the Company or of any other member of the Standard Chartered Group including but not limited to computer programs, data, diagrams, charts, reports, specifications, sketches, inventions and working papers or similar materials of whatever nature or on whatever media relating thereto.
- e) Any information resulting directly or indirectly from my engagement with the Company and all copies, notes, records and all related information (in any form) generated by the Company or any other member of the Standard Chartered Group based on or arising from my engagement and will not use the Confidential information otherwise than for the purpose of performing my obligations to the Company under my engagement.

A member of the Standard Chartered Group means for the purpose of this letter Standard Chartered PLC or any of its subsidiaries or associated companies.

I agree to indemnify the Company and keep it fully indemnified in respect of any liability, losses, damages, claims, costs and expenses arising out of or in connection with any wrongful disclosure or misuse by me of the information referred to above, without prejudice to any other rights or remedies the Company may have including without limitation applying for an injunction or other equitable relief against me.

Yours faithfully,

Signature & Full Name as per IC / Passport SUBASH KRISHNAPPA Date 15/05/2018

To be completed and submitted to Resourcing team / HRRM before or on your First Joining Day