

Non Employed Worker Global Screening Self Certification Letter

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 or the organisation with which I contract/sub-contract) 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.

I, SHIVA KUMAR YALAGUNDA BASAVARAJU
full name as shown on passport/identification document

hereby confirm and make the following declarations:

- 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 correct.
- iii. I do not have any criminal convictions for fraud, any form of financial wrongdoing or misdemeanor 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 as bankrupt and I do not have or have had any financial judgments against me in civil courts for unpaid debts (e.g., child support, gambling debt, credit card debt, unpaid rent, etc.).
- 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. (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, I do not know of anybody's intention to sue me for money they believe is owed to them.)
- vii. I have the legal right to reside and work in
- viii. Do you have any names, other than your legal name shown above, that you are currently known by? If none, please write "None".

Name(s) Commonly Known By:

None

- 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. If none, please write "None".

Previous Name(s)

Reason for Name Change(s)

Date of Name Change(s)

None

D D / M M / Y Y Y Y

		D	D	/	M	M	/	Y	Y	Y	Y
		D	D	/	M	M	/	Y	Y	Y	Y

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

Declaration: Outside Business Interests

The purpose of requesting information in the Outside Business Interests disclosure is to identify any actual, potential or perceived conflicts of interest that may arise as a result of any Outside Business Interests with your role working within the Group.

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

- being employed, other than by the Vendor;
- receiving remuneration or compensation other than from the Vendor;
- 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;
- 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 or not.

For the avoidance of doubt, the following are NOT considered as OBIs:

- Attending an industry forum or association without holding an individually named formal position and where remuneration is not received; for example participating in an industry working group or committee
- The receipt of passive income, for example dividends from owning securities and receiving royalties for intellectual property
- Receipt of rental income from property (residential and/or commercial) where ownership is not held through a company or legal entity
- Informal voluntary work for a not-for-profit organisation for which no remuneration is received
- Participating in or holding unpaid positions in a recreational, social, or local community organisation (such as athletic clubs, youth associations, parent-teacher committees)
- Unpaid positions with co-op boards, condominium associations, and similar entities where the sole business is to hold title or manage real property in which Staff reside
- Writing / maintaining a blog where there is no expectation of monetization or remuneration (sponsorships included). It should however comply with Standard Chartered Communication Policy, in particular the Group Social Media Guidelines and no use of the Bank's confidential or proprietary information

- Investment and divestment (buying and selling) in publicly listed companies and securities should be disclosed under the Personal Account Dealing Procedures whereas private securities investments should be disclosed as an OBI
- Investment in collective investment schemes offered by Standard Chartered Private Bank where investment decisions are made by an investment adviser or manager
- Sponsorship and donations are generally not OBI

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 ☒

Declaration: Close Personal Relationships

The purpose of requesting information in the Close Personal Relationships disclosure 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 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")

As with the previous disclosure, the purpose of requesting information in the Close Financial Relationships disclosure 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.

A CFR exists when both of the following are present:

- a. **There is a financial relationship.** A financial relationship exists between two or more people when a financial benefit* flows between them.

- b. **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. Examples include:

- a payment or receipt of cash or funds, including gifts or charitable donations, for the benefit of the Staff members involved;
 - an extension of credit or a loan;
 - a joint interest in personal belongings or real estate;
 - an investment in a company, partnership, business or other venture that is not publicly listed or acquired through an employer plan of the Group; or
 - an entitlement to future cash, funds, transfers, payments or interest.
- 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")

The purpose of requesting information in the Politically Exposed Persons disclosure is to ensure that the Group complies with all applicable money laundering and anti-bribery and corruption legislation.

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 yes, please provide below the relevant details and/or attach any relevant documents.

.....

.....

Declaration: Client and Business Partner Connections

The purpose of requesting information in the Client and Business Partner Connections disclosure is to ensure that the Group identifies **any actual, potential or perceived** conflicts of interest and manages them as applicable and to comply with all applicable anti-bribery and corruption legislation.

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 have any immediate family members who have significant business relationship with the Group or who are employed by any of its regulators?

Yes

☐

No

☒

If yes, please provide below the relevant details.

.....
.....

Any disclosures made above to the Talent Acquisition team are treated confidentially and will only be shared with Staff members if it is necessary to ensure your assessment is done on an independent basis or as required by applicable laws and regulations.

I confirm that I have informed close associates and immediate family members that I have provided information about them to Standard Chartered Bank in connection with this application.

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:

Y.B.SLJ

Name:

SHIVA KUMAR YALAGUNDA BASAVARAJU

full name as shown on passport/identification document

Date:

10-09-2018