

C. Intermediaries		
Relevant Individual Status: <input type="checkbox"/> I have never registered / licensed as a relevant individual / licensed representative <input type="checkbox"/> I was a relevant individual / licensed representative in the past. Registration / CE No. _____ CPT Initial Date ¹ _____ Types of regulated activities registered / licensed _____ Period of registration / licensing _____ <input type="checkbox"/> I am currently a relevant individual / licensed representative. Registration / CE No. _____ CPT Initial Date ¹ _____ Types of regulated activities registered / licensed _____		Insurance Intermediary Status: <input type="checkbox"/> No <input type="checkbox"/> Yes, in the past. Registration No. _____ <input type="checkbox"/> Yes, at present. Registration No. _____ MPF Intermediary Status: <input type="checkbox"/> No <input type="checkbox"/> Yes, in the past. Registration No. _____ <input type="checkbox"/> Yes, at present. Registration No. _____
Date of Passing the Examination (dd/mm/yyyy)	Examination Programme(s)	Description
	HKSI Licensing Exam	<input type="checkbox"/> Paper 1 - Fundamentals of Securities & Futures Regulation
	HKSI Licensing Exam	<input type="checkbox"/> Paper 7 - Financial Markets
	HKSI Licensing Exam	<input type="checkbox"/> Paper 8 - Securities
	HKSI Licensing Exam	<input type="checkbox"/> Paper 11- Corporate Finance
	HKSI Licensing Exam	<input type="checkbox"/> Paper 12 - Asset Management
	HKSI Foundation Programme Exam	<input type="checkbox"/> Paper 1 - Core Paper
	HKSI Foundation Programme Exam	<input type="checkbox"/> Paper 2 - Securities Investment
	HKSI Foundation Programme Exam	<input type="checkbox"/> Paper 3 - Derivatives Investment
	HKSI Diploma Programme Exam	<input type="checkbox"/> Paper 1 - Economic and Financial Markets - Analytical Tools
	HKSI Diploma Programme Exam	<input type="checkbox"/> Paper 2 - Law, Code and Ethics
	HKSI Diploma Programme Exam	<input type="checkbox"/> Paper 3 - Investment Analysis - Portfolio Management
	HKSI Professional Diploma in Financial Markets	<input type="checkbox"/> Module 1 - Economics
	HKSI Professional Diploma in Financial Markets	<input type="checkbox"/> Module 2 - Financial Markets and Instruments
	HKSI Professional Diploma in Financial Markets	<input type="checkbox"/> Module 3 - Quantitative Methods and Accounting for Finance
	HKSI Professional Diploma in Financial Markets	<input type="checkbox"/> Module 4 - Regulatory Framework: Securities and Futures Industry
	HKSI Professional Diploma in Financial Markets	<input type="checkbox"/> Module 5 - Corporate Capital, Governance, and Takeovers
	HKSI Professional Diploma in Financial Markets	<input type="checkbox"/> Module 6 - Advanced Investment Analysis
	HKSI Professional Diploma in Financial Markets	<input type="checkbox"/> Module 7 - Portfolio Management
	Insurance Intermediary Qualifying Exam	<input type="checkbox"/> Principles and Practice of Insurance
	Insurance Intermediary Qualifying Exam	<input type="checkbox"/> General Insurance
	Insurance Intermediary Qualifying Exam	<input type="checkbox"/> Long Term Insurance
	Insurance Intermediary Qualifying Exam	<input type="checkbox"/> Investment-linked Long Term Insurance
	Mandatory Provident Fund Schemes Exam	<input type="checkbox"/> Mandatory Provident Fund Schemes

¹ If you are a relevant individual / licensed representative as at 1st January of this year, please mark "1st January". If the initial registered date of this year is on any other date, please mark that particular date. If you have never registered during this year, please mark "N/A".

I. Self-Declaration (for the Purpose of Registration as a Relevant Individual of the Bank)	
I am or have been, in Hong Kong or elsewhere convicted of or charged with any criminal offence (other than a minor offence ³) whether or not evidence of such conviction is admissible in proceedings in Hong Kong or elsewhere.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere subject to any disciplinary action or investigation ⁴ by a regulatory body ⁵ or criminal investigatory body ⁶ (as the case may be).	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere subject to any order of the court or other competent authority for fraud, dishonesty or misfeasance.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere a substantial shareholder or director of a corporation or business that is or has been subject to any disciplinary action or investigation by a regulatory body or criminal investigatory body (as the case may be), or involved in the management of such corporation or business.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere a substantial shareholder or director of a corporation or business that is or has been subject to any order of the court or other competent authority for fraud, dishonesty, or misfeasance, or involved in the management of such corporation or business.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere engaged in any judicial or other proceedings.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere a party to a scheme of arrangement, or any form of compromise, with my creditors.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere in default of compliance with any judgment or court order.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere a substantial shareholder or director of a corporation or business which was wound up otherwise than by way of a member's voluntary winding up, or involved in the management of such corporation or business.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere a partner of a firm which was dissolved other than with the consent of all the partners.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere bankrupt or aware of the existence of any matters that might render me insolvent or lead to the appointment of a receiver of my property under the Bankruptcy Ordinance (Cap. 6).	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere refused or restricted from the right to carry on any trade, business or profession for which a specific license, registration or other authorization is required by law.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere a substantial shareholder or director of a corporation that has been refused or restricted from the right to carry on any trade, business or profession for which a specific license, registration or other authorization is required by law, or involved in the management of such corporation.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere disqualified from holding the office of director.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I am or have been, in Hong Kong or elsewhere a patient ⁷ as defined in Section 2 of the Mental Health Ordinance (Cap. 136).	<input type="checkbox"/> Yes <input type="checkbox"/> No

¹ The protection granted to the rehabilitated individuals under the Rehabilitation of Offenders Ordinance (Cap. 297) shall not apply to any question asked for the assessment of the suitability to act as employees of an authorized institution. Hence, you are required to provide full details of any such conviction.

² "Manager" refers to an individual appointed and notified to the HKMA to be principally responsible, either alone or with others, for the conduct of any one or more of the affairs or business of the institution specified in the 14th Schedule of the Banking Ordinance (Cap.155).

³ "Minor offence" means an offence punishable by a fixed penalty under the Fixed Penalty (Traffic Contravention) Ordinance (Cap. 237), the Fixed Penalty (Criminal Proceedings) Ordinance (Cap. 240) or the Fixed Penalty (Public Cleanliness Offences) Ordinance (Cap. 570), or offence of a similar nature committed in a place outside Hong Kong.

⁴ This does not include disclosure of information concerning an ongoing criminal investigation by a regulatory body or criminal investigatory body if such disclosure is prohibited by any statutory provision in Hong Kong or elsewhere. You are however required to notify the Bank of the results of the investigation within 7 business days after you become aware of the completion of such criminal investigation if you are eventually employed by the Bank.

⁵ "Regulatory body" includes the Securities and Futures Commission, the Hong Kong Monetary Authority, a recognized exchange company (as defined in Schedule 1 of the Securities and Futures Ordinance (Cap. 571)), any professional body or association, an examination authority, an inspector appointed under any enactment, and other equivalent bodies or persons, in Hong Kong or elsewhere.

⁶ "Criminal investigatory body" means the Hong Kong Police Force and the Independent Commission Against Corruption established under Section 3 of the Independent Commission Against Corruption Ordinance (Cap. 204), and public bodies in Hong Kong or elsewhere carrying out criminal investigations.

⁷ "Patient" means a person suffering or appearing to be suffering from mental disorder.

I confirm that the information given above and the document(s) provided are true, correct and complete. I understand and acknowledge that if I give or provide any false or misleading information / document(s) and / or withhold any material information / document(s), The Bank of East Asia, Limited ("Bank") has the right to revoke any verbal or written offer of employment to me without any liability. I also understand and acknowledge that any false or misleading information / document(s), if subsequently discovered, shall be sufficient cause for immediate dismissal of my employment by the Bank if I am eventually employed and the Bank reserves the right to take such action as it thinks appropriate under the circumstances.

Signature:

Date:

