



Position Details

Please indicate the R.J. O'BRIEN office location in which you are seeking employment.

- | | |
|---|--|
| <input type="checkbox"/> United States (R.J. O'Brien & Associates, LLC) | <input type="checkbox"/> Hong Kong (R.J. O'Brien & Associates HK, Limited) |
| <input type="checkbox"/> Canada (R.J. O'Brien & Associates Canada Inc.) | <input type="checkbox"/> United Kingdom (R.J. O'Brien (Europe) Limited) |
| <input type="checkbox"/> United Kingdom (R.J. O'Brien Limited) | |

Position/Title Applied for :		Department	
How did you hear about this position? <input type="checkbox"/> a R.J. O'BRIEN employee; specify name: <input type="checkbox"/> our web site <input type="checkbox"/> internet; please specify site: <input type="checkbox"/> agency; please specify:	Are you related to anybody who works for R.J. O'Brien? <input type="checkbox"/> No <input type="checkbox"/> Yes, specify name :	Is this a regulatory position? <input type="checkbox"/> No <input type="checkbox"/> Yes	
	Have you previously worked for R.J. O'Brien or any of its affiliated companies? <input type="checkbox"/> No <input type="checkbox"/> Yes, specify name :	Dates of Employment at affiliated company. Start Date: _____ End Date: _____	

Employee Personal Information & Residency

Last/Family name	First/Given Name	Initials	Telephone #
Mailing address		Permanent home address if different from mailing address	
City	Province/State	Country	Postal code
City	Province/State	Country	Postal code
Which official language do you know best or speak most frequently? Check all that apply. <input type="checkbox"/> English <input type="checkbox"/> French <input type="checkbox"/> Mandarin		In which official language(s) do you consider you have a working ability? Check all that apply. <input type="checkbox"/> English <input type="checkbox"/> French <input type="checkbox"/> Mandarin	
Are you legally authorized to work in the country of the entity to which you are applying? <input type="checkbox"/> No <input type="checkbox"/> Yes, specify country.			
<u>Country :</u> <input type="checkbox"/> United States <input type="checkbox"/> United Kingdom <input type="checkbox"/> Canada <input type="checkbox"/> Hong Kong			
Will you now or in the future require sponsorship for employment visa status (e.g., H-1B visa status)? <input type="checkbox"/> Yes <input type="checkbox"/> No			

Employment History – List all previous employers worked for last seven years

Current or Most Recent Employer			
Can the employer be contacted?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Employer Name	
Position Held		Reason(s) for Leaving	
Location	(City/Town)	(State/Province)	(Country)
Employment Start Date	(Day) (Month) (Year)	Employment End Date	(Day) (Month) (Year)
Supervisor's Information	(Name) (Phone #)		

Additional Previous Employer			
Can the employer be contacted?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Employer Name	
Position Held		Reason(s) for Leaving	
Location	(City/Town)	(State/Province)	(Country)
Employment Start Date	(Day) (Month) (Year)	Employment End Date	(Day) (Month) (Year)
Supervisor's Information	(Name) (Phone #)		

Additional Previous Employer			
Can the employer be contacted?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Employer Name	
Position Held		Reason(s) for Leaving	
Location	(City/Town)	(State/Province)	(Country)
Employment Start Date	(Day) (Month) (Year)	Employment End Date	(Day) (Month) (Year)
Supervisor's Information	(Name) (Phone #)		

Education and Academic Qualifications

Primary/High School Education Complete Yes No If incomplete, number of years completed

Secondary/Univeristy Education Complete Yes No

Name and location of institution/	Number of Years attended	Field of study	Level/Degree Obtained

Regional Specific Employee Screening Questions & Signature

Depending on the R.J. O'Brien region you are applying for employment, please complete the appropriate sections.

United States		
If you answer "Yes" to any of the below, please supply additional information as to the reason(s) for the positive response(s) on a separate page	YES	NO
Have you ever been suspended or dismissed by any company, organization, or government service?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever been suspended, expelled or otherwise disciplined or penalized by any federal, state or foreign financial regulatory body or by any financial self-regulatory organization, exchange or association, or been denied membership therein, or ever withdrawn your application to such membership?	<input type="checkbox"/>	<input type="checkbox"/>
Have you been associated with any broker-dealer, financial institution, or similar organization, as a director, investment advisor, controlling stockholder, partner, officer, employee, principal, or some other representative which has been suspended or expelled from any financial exchange or registered association, or was refused membership therein or withdrew an application for membership or whose registration as a broker-dealer with the relevant regulatory body or any state or agency has been denied, suspended or revoked?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever been named as a "cause" or party in any action mentioned in the preceding questions taken with respect to a broker dealer, financial institution, or similar organization?	<input type="checkbox"/>	<input type="checkbox"/>
Has any permanent or temporary civil injunction ever been entered against you?	<input type="checkbox"/>	<input type="checkbox"/>
In your previous business connections or employment in any capacity, have transactions under your attention ever been the subject of complaint or regulatory proceeding?	<input type="checkbox"/>	<input type="checkbox"/>
Are you now or have you ever been subject to an order of the any regulatory agency or association which bars or suspends you from becoming associated with the relevant financial organization group?	<input type="checkbox"/>	<input type="checkbox"/>

I understand that, if hired, my status is that of an employee at will, meaning that I have no contractual right, express or implied, to remain in R.J. O'Brien's employ. In consideration of my employment, I specifically agree that my employment or the terms and conditions thereof including compensation, can be changed or terminated with or without cause, and with or without notice, and any time, at the option of R.J. O'Brien.

MARYLAND: Under Maryland law, an employer may not require or demand, as a condition of employment, prospective employment, or continued employment, that an individual submit to or take a lie detector or similar test. An employer who violates this law is guilty of a misdemeanor and subject to a fine not exceeding \$100.

MASSACHUSETTS: It is unlawful in Massachusetts to require or administer a lie detector test as a condition of employment or continued employment. An employer who violates this law shall be subject to criminal penalties and civil liability.

United Kingdom

If you answer "Yes" to any of the below, please supply additional information as to the reason(s) for the positive response(s) on a separate page	YES	NO
Have you ever been convicted of a criminal charge?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever been suspended or dismissed by any company, organization, or government service?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever had approved status or membership, or an application for approved status or membership, refused or withdrawn, by any financial regulatory body or by any financial self-regulatory organization, exchange or association (whether in the UK and/or overseas), or have you or a firm acting on your behalf ever withdrawn such an application?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever been disciplined or penalized by any financial regulatory body or by any financial self-regulatory organization, exchange or association (whether in the UK and/or overseas), or have you or a firm for which you act ever submitted a negative Notification of Competence or otherwise notified such body that you are not competent to perform your entire duties?	<input type="checkbox"/>	<input type="checkbox"/>
Are you currently engaged in any other business either as a proprietor, partner, officer, director, trustee, employee, and agent or otherwise?	<input type="checkbox"/>	<input type="checkbox"/>
<p>This disclosure is to notify you that R.J. O'Brien (Europe) Limited ("RJOEU")/R.J.O'Brien Limited ("RJOL"), and by signing this application you consent to the fact that RJOEU may outsource certain administrative functions involving the processing or storage of personal information relating to your employment with RJOEU/RJOL, including information needed by human resources and payroll, to third parties to perform functions or and services in support of administrative services for RJOEU/RJOL and its employees including RJOEU/RJOL's sister subsidiary, R.J. O'Brien & Associates, LLC, a U.S. based Futures Commission Merchant located in Chicago, Illinois ("RJOUS"). Such information may therefore be accessible to governmental and regulatory bodies in the relevant jurisdictions. RJOUS will protect personal information to the extent afforded by its governing laws and regulations and in accordance with any applicable contractual obligations. For more information about how your information is handled, including with respect to RJOEU/RJOL's use of service providers outside of United Kingdom, please contact RJOEURJOL's Compliance Officer at compliance-uk@rjobrien.com.</p>		

Canada

This disclosure is to notify you that R.J. O'Brien & Associates Canada Inc. ("RJOC") may outsource certain administrative functions involving the processing or storage of personal information relating to your employment with RJOC, including information needed by human resources and payroll, to third parties to perform functions or and services in support of administrative services for RJOC and its employees including RJOC's sister subsidiary, R.J. O'Brien & Associates, LLC, a U.S. based Futures Commission Merchant located in Chicago, Illinois ("RJOUS"). Such information may therefore be accessible to governmental and regulatory bodies in the relevant jurisdictions. RJOUS will protect personal information to the extent afforded by its governing laws and regulations. For more information about how your information is handled, including with respect to RJOC's use of service providers outside of Canada, please contact R.J. O'Brien's Compliance Officer at compliancecanada@rjobrien.com

Hong Kong

If you answer "Yes" to any of the below, please supply additional information as to the reason(s) for the positive response(s) on a separate page.	YES	NO
Have you ever been found guilty of an offense in a court of law?	<input type="checkbox"/>	<input type="checkbox"/>
Do you have any previous record(s) of a disciplinary offense whilst in employment with the previous employers?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever been convicted of an offense other than a traffic offense, in Hong Kong or elsewhere, or are there proceedings now pending which may lead to such a conviction?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever had any civil judgments made against you?	<input type="checkbox"/>	<input type="checkbox"/>

Are you currently engaged in any other business either as a proprietor, partner, officer, director, trustee, employee, and agent or otherwise?	<input type="checkbox"/>	<input type="checkbox"/>
<p style="font-size: small;">This disclosure is to notify you that R.J. O'Brien & Associates HK, Limited ("RJ OHK") may outsource certain administrative functions involving the processing or storage of personal information relating to your employment with RJ OHK, including information needed by human resources and payroll, to third parties to perform functions or and services in support of administrative services for RJ OHK and its employees including RJOHK's sister subsidiary, R.J. O'Brien & Associates, LLC, a U.S. based Futures Commission Merchant located in Chicago, Illinois ("RJOUS"). Such information may therefore be accessible to governmental and regulatory bodies in the relevant jurisdictions. RJOUS will protect personal information to the extent afforded by its governing laws and regulations. For more information about how your information is handled, including with respect to RJOHK's use of service providers outside of Hong Kong, please contact RJOHK's Compliance Officer at compliancehongkong@rjobrien.com</p>		

Declaration and Attestation

Representation by Applicant

I understand that any employment R.J. O'Brien & Associates, LLC. or its affiliated companies (collectively, "R.J. O'Brien") is conditioned upon positive responses from my references, bonding eligibility, continued adherence to R.J. O'Brien's policies and procedures, applicable rules and regulations and job performance satisfactory at all times to RJ O'Brien.

I consent to take any pre or post-employment examinations as may be required by R.J. O'Brien, and release R.J. O'Brien from any liability that may arise from such examination as allowable by law.

I authorize an inquiry to be made on the information contained in this application. I further authorize R.J. O'Brien to contact any of my former employers to verify the information I have provided and inquire as to my work history. I understand that prior to any background check being conducted by a third party, I will be given a separate disclosure form in compliance with the Fair Credit Reporting Act for United States positions.

I hereby attest and warrant that all my answers on this application as well as on all forms completed in conjunction with my application of employment are true and accurate. I understand that misrepresentation of facts, failure to disclose information required on this application or material change in my information provided which is not reported to Human Resources shall be cause for rejection of consideration or, if hired, dismissal regardless of when discovered by R.J. O'Brien.

Signature of Applicant		Date	
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Please use this page for any additional information
