

Vetting Specification for External Staff CANADA

Valid as of 03 January 2020

Current State				
Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
Identity Check		This check is the responsibility of the supplier.		Pre-UBS start date
Right to work verification		This check is the responsibility of the supplier.		Pre-UBS start date
Global Background Check (COSIMA, GTS, Rehire)	Cosima, GTS, Internal HR systems	Background check to identify records of terrorist/criminal activities or networking, personal misconduct / reputation problem / hostility against UBS or conflict of interest with UBS, negative references concerning trustworthiness, work ethics, reputation. Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons).	No hits	Pre-offer, latest pre-UBS start date
Family Relationship	Self declaration	Candidate needs to be asked whether he/she has family or personal relationships with UBS employees. - Family relationship: spouse, domestic partner or civil partner (or similar as recognised by law), parent (or parent-in-law), sister or brother (or in-law), child, step child. - Personal relationship: management reporting line. Answers are adequately documented.	No family relationship with UBS.	Pre-offer, latest pre-UBS start date
External Directorship and Positions (self declaration)	Self declaration	Candidate needs to be asked whether he/she has any external directorship that could raise a conflict of interest with UBS to disclose. Answers are adequately documented.	No external directorship and positions.	Pre-offer, latest pre-UBS start date
Registered Status / Statutory Disqualification	Canadian Securities Administrator (CSA) Database search via CSA registration website	Check confirms (i) that the candidate has required license, (ii) that there were no disciplinary or regulatory "events" disclosed and (iii) the candidate was not suspended or inactive with any regulator and no statutory disqualification exist. The validation is documented appropriately.	Check confirms that candidate is registered, that there are no disciplinary or regulatory events and candidate was not suspended or found to be inactive based on a search of the Canadian Securities Administrator (CSA).	Pre-UBS start date
Criminal Record Check	Criminal Record via the Canadian Police Department (RCMP)	Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. Onboarding: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the last 5 years (required address history). Periodic Vetting: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the period equal to the frequency of periodic vetting (e.g. if the frequency of periodic vetting is 3 years, the check / address history must cover the last 3 years). For both Onboarding and Periodic Vetting an appropriate address verification shall be performed for the current address. Further proof of residence shall only be requested if circumstances (applicable legal and regulatory requirements) demand such. Identification of any records associated with the candidate.	No entries found in respective document(s).	Pre-UBS start date

<p>Credit Check</p>	<p>Credit Report from one of the reputable, widely recognized Consumer Credit Agencies (TransUnion or Experian or Equifax). Credit check to be performed in accordance with local laws.</p>	<p>Document(s) need to be original and current; e.g. dated not older than 2 months from receiving. Onboarding: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the last 5 years (required address history). Periodic Vetting: Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the period equal to the frequency of periodic vetting (e.g. if the frequency of periodic vetting is 3 years, the check / address history must cover the last 3 years). For both Onboarding and Periodic Vetting an appropriate address verification shall be performed for the current address. Further proof of residence shall only be requested if circumstances (applicable legal and regulatory requirements) demand such. Check the summary of the candidate credit and bankruptcy history and compare with the address history. Canadian credit report has to cover an unlimited period of time for public records (bankruptcies, liens or judgements) and open lines of credit (timeframe applicable to Canadian law restrictions). International credit record checks have to cover the last 5 years, if applicable.</p>	<p>Cumulative total from any combination of debt types totalling less than 10'000 CAD: a. Sum of unsatisfied or unpaid public records with liability b. Sum of current negative accounts (under collection) with past due amounts c. Sum of accounts charged off as bad debt.</p>	<p>Pre-UBS start date</p>
<p>External Directorship (Database Search)</p>	<p>Public database</p>	<p>Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.</p>	<p>No hits, no discrepancies between self-declaration and database search</p>	<p>Pre-UBS start date, latest 4 weeks after UBS start date</p>