

Vetting Specification for External Staff CHINA

Valid as of 19 February 2022

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-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-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-UBS start date
Registered Status / Statutory Disqualification	Registration search via Regulator's website / database - Chinese Securities Regulatory Commission.	Registered status check only applicable for regulated roles.	Search confirms that the person is registered and that no statutory disqualification exist.	Pre-UBS start date
Criminal Record Check	Criminal Record Check - People's Supreme Court (中华人民共和国最高人民法院) via public platform AND Civil Litigation Check conducted via a vendor which allow search using more defined perimeters (eg. ID number, Date of Birth) - source is also People's Supreme Court (中华人民共和国最高人民法院)	Document(s) need to be original and current; e.g. dated not older than 3 months from UBS start date. 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). 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.	Pre-UBS start date
Credit Check		No Bankruptcy Check is available in China for employment screening purpose. Due to the process requirement, China credit check is not required for external staffs If applicable, international credit or bankruptcy checks to be done for candidates		N/A
Global Dataset Search (Global Dataset Search)	World Check	Background check to identify records of terrorist/criminal activities or networking; personal misconduct ,reputation problem,negative references concerning trustworthiness & reputation.	No Hit	Pre-UBS start date
Media Database Search (China)	World Check	Background check to identify records of terrorist/criminal activities or networking; personal misconduct ,reputation problem,negative references concerning trustworthiness & reputation.	No Hit	Pre-UBS start date

Vetting Specification for External Staff CHINA

Valid as of 19 February 2022

Current State				
Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
External Directorship (Database Search)	Public database	<p>Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.</p> <p>The check 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)</p>	No hits, no discrepancies between self-declaration and database search	Pre-UBS start date