## Vetting Specification for External Staff BRAZIL

## Valid as of 01 April 2023

Pre-offer and Pre-start vetting may be started no earlier than 3 months before the UBS start date. For Credit and Criminal, where this check is permissible, document(s) need to be original and current.

	Current State					
Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing		
Identity Check	This check is the responsibility of the supplier.					
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		
Relatives & 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 interests with UBS to disclose. Answers are adequately documented.	No external directorship and positions.	Pre-UBS start date		
Registered Status / Statutory Disqualification	Not applicable for Brazil			N/A		
Criminal Record Check	Certificate of Criminal Record (Certidao de Antecedentes Criminais ) issued by the Federal Court (Justica Federal de 1a Instancia, Justica Federal de 2a Instancia - second level of jurisdiction) AND Certidão de Antecedentes Criminais Estadual issued by the State Court (Justica Estadual, Tribunal de Justica).	Where this check is permissible, document(s) need to be original and current; e.g. dated not older than 3 months from vetting case completion (or from the start date, whichever is earlier). 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 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 credit check allowed					
External Directorship (Database Search)	Public database	Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration. 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)	No hits, no discrepancies between self-declaration and database search	Pre-UBS start date		
ESSENTIAL FOOTNOTES:		Page 1 of 2				

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Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing			
Supplier Vetting Obligations	Decision Authority at the time you were awarded the label of bei Any deviations to the country specs or agreed approach may resu A reminder that any decisions made by you should not expose UI In case a Level 1 supplier does not have the capability to legally p Authority (DA) to perform an alternative. In such cases (post appr and dated prior to the start date at UBS and must be available for approved prior to onboarding by the UBS vetting Decision Author In case a candidate does not have the required documents / regis only be obtained where a check is legally permissible in the "hiri completed and dated prior to the start date at UBS and must be The country specifications define the acceptable documentation	It in a finding at the time of the level 1 audit e.g., the use of an unapproved vetting vendor. BS to any reputational or operational risk. erform a particular check (as defined in the country specifications), the supplier should obtain approval from the UBS vetting Decision oval from the DA) the Level 1 supplier may obtain a self-declaration form from the candidate. The Self declaration needs to be completed review at the time of the level 1 audit. A self-declaration only fulfills the condition of a check not being completed if this has been rity (DA). tration for a check to be performed, the supplier must obtain a self-declaration from the candidate. However, such a self-declaration shall ng <sup>o</sup> location but cannot be conducted due to candidate not fulfilling the required conditions for a check. The self-declaration must be available for review at the time of the level 1 supplier audit. and/or data sources for use within a candidate's country of hire. ations, and if the candidate has background history or footprint within additional countries outside the "hiring" country acceptable y must be considered.					