

External staff at UBS

Staff Vetting – Declaration

Missing or incomplete information may delay the onboarding process!

Section 1: Candidate & Supplier Information

Legal First Name (as stated on passport/ID) _____

Middle Name (as stated on passport/ID) _____

Legal Last Name (as stated on passport/ID) _____

In case of previous work relationship with UBS please provide candidate "preferred name" or any other names previously used while working for UBS, if applicable: _____

Date of Birth (DD/MM/YYYY) _____

Work Location Country _____

Candidate Email Address _____

Candidate Home Phone Number (Americas only) _____

Note: Tentative start date will be issued by HR upon receipt of the onboarding request.

UBS External Staff Category (Tick relevant box)

The category is determined based on the access that the candidate will require to UBS premises, IT applications, IT systems and infra structure. Your UBS business contact can clarify the correct staff category.

Category I
External staff having a UBS Logon ID or a GPN and access to UBS systems/UBS valuables (e.g. treasury room) and/or access to UBS's confidential information. Staff of this category must be registered in the UBS HR system and therefore have a GPN.

Category III
External staff having a GPN or provided with an access badge and access to UBS premises and no access to UBS systems and no access to UBS valuables and no access to UBS confidential information. Staff of this category must be registered in the UBS HR system, has no UBS Logon.

Candidate Status (Tick relevant box)

New UBS Engagement

UBS Re-Engagement or Change from UBS internal to External Staff

International Transfer

Change of External Staff Category (III to I)

Supplier Information

Supplier Company Name _____

What kind of staff is this candidate? (Tick relevant box)

Direct employee or Direct Contractor³/UBS on Demand Worker

Not a direct employee (fourth party supplied staff – including staffing firms providing their employees or contractors to the contracted service)

If the candidate is not your direct employee provide the official fourth party company name as it appears in formal company registers

Supplier Vetting Level (Tick relevant box)

Corresponding declaration to be filled out on next page

Level 1 (go to Section 3)
Approved by UBS to either conduct the vetting themselves and/or by engaging a vetting vendor operating in line with the UBS global vetting specifications. Level 1 vetting annex executed between supplier and UBS.

Level 2 (go to Section 4)
Agree that the vetting is executed by UBS and/or a UBS-certified vetting vendor in line with the UBS global vetting specifications. The Level 2 supplier is also accountable for adhering to local data privacy law. Level 2 vetting annex executed between supplier and UBS.

If you are unsure of the supplier level contact the regional UBS Regional Staff Vetting Operations Team for clarification:

SH-HR-ExternalStaffVetting-APAC@ubs.com (for external staff working in the APAC region)

SH-HR-ExternalStaffVetting-EMEA@ubs.com (for external staff working in the EMEA region)

SH-HR-ExternalStaffVetting-AMERICAS@ubs.com (for external staff working in the Americas region)

³ Individuals employed by a Third Party and on loan (with a person loan contract/ Überlassungsvertrag von Arbeitnehmern) to UBS or self-employed, and who directly or indirectly report to a UBS line manager, providing capacity or capability as incremental or replacement resource and who have this job in the interim and could be replaced by a permanent employee, and for whom employee benefits are not provided by UBS, and who are not part of an outsourcing agreement, and who are not supplied by a Vendor as part of a contract, sub-contract or outsourcing agreement

Section 2: Vetting Checks - High-level overview

The table below shows a high-level overview of the Vetting Check Requirements for Cat I and Cat III:

Global Mandatory Check	Category I	Category III
Identity Check (<i>performed by Supplier</i>)	required	required
Right to Work Verification (<i>performed by Supplier</i>)	required	required
Domestic and International Criminal Record Check	required	required
Domestic and International Credit Check	required	not required
Global Background Check (<i>performed by UBS</i>)	required	not required
Fingerprinting Check (<i>US only, performed by UBS</i>)	required	required
Family Relationship (<i>self-declaration</i>)	required	not required
External Directorship (<i>self-declaration</i>)	required	not required
External Directorship (<i>database search</i>)	required	not required
Registered Status	required, if applicable	not applicable
Regulatory Reference (<i>UK only</i>)	required, if applicable	not applicable

All vetting checks are required to be completed pre-start. The candidate will not be allowed to join UBS before all mandatory checks are completed.

A detailed description of required checks, specific requirements, timeline and potential restrictions on the population for every country is available to suppliers via [Staff Vetting Website for Level 1 Supplier](#) and via [Staff Vetting Website for Level 2 Supplier](#) (please refer to country specification section).

Section 3: Level 1 Supplier

This section should only be completed by suppliers who are approved as a Level 1 Supplier.

Completion of the required checks, as outlined in the country specification, must be available for evidence or summarized in a vetting vendor report (e.g. a vetting vendor which was approved already by UBS). The documents are expected to be current (e.g. not older than 2 months from your direct employee's or subcontractor's UBS start date/engagement date). These documents will be critical to proving vendor compliance with UBS's vetting standards through UBS's auditing requirement

1. Declaration Pre-Start Check Completion – Select one of the following:

- a. Pre Start Checks completed (according to the schedule below) Yes
- b. Pre Start Checks not completed as per the approved policy exception request¹ from UBS. The supplier is obliged to inform the Regional Staff Vetting Operations Team² about the successful completion of all checks within 4 weeks after the start date. Identity Check and Right to Work Verification are not subject to an exception and must be completed before the declaration is submitted to UBS. Yes

¹ It is the UBS business contact to submit the complete exception request when raising an onboarding request. Every exception request will be reviewed on a case-by-case base and decision will be communicated to the UBS business contact.

² Contact details to the Regional Staff Vetting Operations Teams:

APAC: SH-HR-ExternalStaffVetting-APAC@ubs.com

Europe EMEA: SH-HR-ExternalStaffVetting-EMEA@ubs.com

Americas: SH-HR-ExternalStaffVetting-AMERICAS@ubs.com

2. Check Completion Schedule – Please provide dates when checks were completed:

If there are no dates provided or if an N/A is not justified in the comments, the form will be returned to you for changes.

Global Mandatory Check	Completion date (DD-MM-YYYY)	Comments
Identity Check		
Right to Work Verification		
Domestic and International Criminal Record Check		
Domestic and International Credit Check		
Family Relationship (self-declaration)		
External Directorship (self-declaration)		
External Directorship (database search)		
Registered Status		
Regulatory Reference (UK only, if applicable)		

3. Declaration on data protection rules – Select one of the following:

- a. Data protection restrictions have been reviewed and considered (in line with the eligibility assessment form for the relevant country delivered by UBS). Yes
- b. Data protection restrictions are **NOT** applicable for the country where the candidate is hired (i.e. no eligibility assessment form delivered by UBS). Yes

4. Declaration on family relationship and external directorship – Select one of the following:

- a. **NO** declaration in the family relationship and/or external directorship check Yes
- b. **ONE** or **MORE** declaration in the family relationship and/or external directorship check Yes

The supplier is obliged to **report any family relationship and/or external directorship declarations** in a separate email (prior to submitting this document) to **the UBS Regional Staff Vetting Operations Team** by attaching Family and Directorship self-declaration: SH-HR-ExternalStaffVetting-APAC@ubs.com (for external staff working in the APAC region) SH-HR-ExternalStaffVetting-EMEA@ubs.com (for external staff working in the EMEA region) SH-HR-ExternalStaffVetting-AMERICAS@ubs.com (for external staff working in the Americas region)

5. Candidate was informed that UBS will undertake a Global Background Check (if applicable) Yes

For further information on how UBS processes the candidate's data, the candidate's rights and how to exercise these rights, please refer candidates within the EU, Monaco and Jersey to the following Link: [Vendor Employee Privacy Notice](#).

6. A copy of passport/ID card is attached to the submission (as a standalone document) Yes

(No passport/ID document shall be provided for the following countries: Korea, Poland)

7. The supplier is contractually obliged to ensure that

- a. For the candidate, the vetting checks have been completed as set out in UBS's Vetting Specification and in accordance to the 'UBS Vetting Finding Guidelines' for level 1 supplier in case of any unsatisfactory vetting results.
- b. For the candidate, any self-declarations relevant for vetting checks have been reported to UBS for review.
- c. For the candidate, in the case of any unsatisfactory vetting results in accordance with 'UBS Vetting Finding Guidelines' for Level 1 Supplier, the supplier will withdraw the candidate from the onboarding process with UBS without undue delay and inform the Regional Staff Vetting Operations Team (see above) and the UBS business contact immediately.
- d. For the candidate where the exception to start has been granted by UBS:
 - a. a completion of outstanding checks should be confirmed by Supplier to the Regional Staff Vetting Operations Team as soon as the checks are concluded but latest 4 weeks after the start date.
 - b. any delays to outstanding checks outside of period of 4 weeks after the start date are reported to the Regional Staff Vetting Operations Team before the relevant deadline is missed. Supplier is obliged to send an email using the template available on the Supplier Level 1 website to the Regional Staff Vetting Operations Team (see above).
 - c. in the case of any unsatisfactory vetting results in accordance with "UBS Vetting Finding Guidelines" for Level 1 Supplier, the supplier will withdraw the candidate from the UBS engagement without undue delay and inform the Regional Staff Vetting Operations Team (see above) and the UBS business contact immediately.
- e. the candidate is legally eligible and authorized to work in the jurisdiction where Services are performed.
- f. the candidate has all appropriate and applicable visas, work permits and permissions to do so.
- g. it will comply with all applicable immigration laws and regulations of the relevant jurisdiction and will not prevent or discourage the candidate from applying for or obtaining appropriate and applicable visas, work permits or permissions to enable the candidate to continue to work in any given location.
- h. all Staff are suitably qualified, skilled and experienced to provide the Services in a professional and timely manner and to a standard acceptable to UBS.

Supplier Representative Signature (candidate signature only accepted in case of self-employed persons)

(Staff Vetting Declaration is valid for 2 months from signature date)

Place/Date

Last Name, First Name

Signature

Joint signature if applicable

Place/Date

Last Name, First Name

Signature

Section 4: Level 2 Supplier Declaration

This section should only be completed by suppliers who are approved as a Level 2 Supplier.

1. Candidate was informed that UBS will:

- a. **Initiate a vetting case with vetting vendor** Yes
HireRight UK (EMEA), First Advantage/FADV Singapore (APAC), Cisive US (AME)
- b. **Undertake a Global Background Check** Yes
For further information on how UBS processes the candidate's data, the candidate's rights and how to exercise these rights, please refer candidates within the EU, Monaco and Jersey to the following Link: [Vendor Employee Privacy Notice](#).
- c. Delay candidate's start date with UBS if the mandatory pre-start checks are not completed on time and to UBS's satisfaction. Yes

2. A copy of passport/ID card is attached to the submission (as a standalone document) Yes

(No passport/ID document shall be provided for the following countries: Korea, Poland)

3. Form "Self-Declaration for External Directorship and Family Relationship" is attached to the submission Yes No
(only required for External Staff Category I)

4. Registered Status: Candidate is registered with a financial regulator e.g. FCA, FINRA Yes No

5. The supplier is contractually obliged to ensure that

- a. the candidate is legally eligible and authorized to work in the jurisdiction where Services are performed.
- b. the candidate has all appropriate and applicable visas, work permits and permissions to do so.
- c. it will comply with all applicable immigration laws and regulations of the relevant jurisdiction and will not prevent or discourage the candidate from applying for or obtaining appropriate and applicable visas, work permits or permissions to enable the candidate to continue to work in any given location.
- d. all Staff are suitably qualified, skilled and experienced to provide the Services in a professional and timely manner and to a standard acceptable to UBS.

Supplier Representative Signature (candidate signature only accepted in case of self-employed persons)

(Staff Vetting Declaration is valid for 2 months from signature date)

Place/Date

Last Name, First Name

Signature

Joint signature if applicable

Place/Date

Last Name, First Name

Signature