Vetting Process for External Staff

Supplier Information (L2)

August 2025

Context

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1 Background to UBS external staff vetting

All UBS staff (internal UBS staff, external supplier staff - inclusive of subcontractors) are subject to the same minimum vetting standards in accordance with the Global Staff Vetting Policy.

Why

- Provides consistent standards to the vetting of all UBS external and internal staff, in all locations
- Reduces UBS's operational and reputational risk
- Protects our clients
- Complies with regulatory expectations

How

- UBS's Global Staff Vetting Policy applies to all staff and addresses the minimum standard of vetting for all staff who have access to UBS information and/or premises
- Processes are applicable globally following local rules and regulations
- Re-vetting of risk-sensitive staff (as defined by UBS) ensures that individuals are re-vetted as circumstances may have changed since vetting was last performed

Involved Parties

- Suppliers
- Staff of Suppliers (this includes subcontractors – e.g. 4th Party Staff)
- UBS Business Contact ('Hiring Manager')
- UBS Regional Staff Vetting Operations Teams
- UBS certified Vetting Vendors
- UBS HR Advisory Lead for External Suppliers

Region	UBS certified Vetting Vendor
EMEA, CH, Poland	HireRight (UK)
Americas	Cisive (US)
APAC	First Advantage (Singapore)
South Africa	MIE

2 Global mandatory vetting checks & external staff categories

All vetting checks must be completed before a member of staff is admitted access to UBS premises, data or systems.

Staff category defines risk sensitivity and vetting checks to be executed

- **Category I:** Access to UBS Group systems, UBS valuables (e.g. treasury room, server rooms) and/or UBS Group's confidential information and issued with a UBS logon ID or a GPN;
- **Category II*:** Access to confidential / strictly confidential information, data or physical documents and no access to IT or unsupervised physical access to infrastructure (no GPN)
- **Category III:** No access to UBS IT Systems, no access to UBS valuables and no access to UBS's Confidential Information, but are issued with a GPN or provided with an access badge, and have access to UBS premises

Mandatory Vetting checks	Categories of External Staff	
	Category I	Category III
Identity Check	**Supplier contractually obligated to have cleared checks prior to UBS engagement, per supplier practice**	
Right to Work Verification		
Criminal Record Check	✓	✓
Credit Check	✓	x
Global Background Checks, Re-engagement Check	✓	✓
Registered Status/ Statutory Disqualification (global regulated positions only)	✓	x
Relatives and Relationships (Self-Declaration)	✓	x
External Directorships and Positions (Self-Declaration)	✓	x
External Directorships and Positions (Database Search)	✓	x
Fingerprinting (US only)	✓	✓
Highest Level of Education*	**Supplier contractually obligated to provide skilled and qualified staff**	
Employment History*		

✓ = UBS performs checks; **O**= Supplier performs checks; **X** no check

***On demand workers (ODW) -** UBS hiring managers to perform a skills and qualification assessment on individuals put forward by the On Demand Worker team.

For external staff category II, suppliers must ensure that the following checks have been completed: Identity check, Right to Work Verification and Criminal Check, where permissible pursuant to relevant federal, state and/or local laws.

UBS

3 External staff vetting: UBS requirements (1/3)

- **General rules**
  - UBS's vetting policy and minimum standards clearly require that all external staff (inclusive of subcontractors – e.g. 4th party staff) who have access to UBS systems and premises, must be vetted to the same standard as UBS requires for internal staff performing similar roles. UBS is obliged to distinguish between 3rd party (e.g. your direct employees) and subcontractors (e.g. 4th party staff) and, to record the subcontractor company name, as applicable. Supplier must ensure that for all its Staff (including subcontractors), vetting has been completed in line with the Vetting Specifications, taking into account the requirements of the respective external staff category.
  - External staff onboarding requests may now be initiated on a drafted contract ID and vetting may be initiated as early as six months (three months for the Americas) before the new joiner's start date.
  - As soon as a draft contract is recorded in the contracting tool, your UBS business contact should initiate staff vetting via the HR portal, so HR can start the vetting process.
  - To start the vetting process, supplier agrees to submit the Staff Vetting Declaration (can be downloaded from the document library of the L2 Staff Vetting Website) and all other required information and documentation for each staff member to be assigned to UBS within the timelines prescribed by UBS. The staff vetting declaration provides UBS with the necessary information we require to initiate vetting and onboarding for your staff and your subcontractors. As a supplier of UBS, you also acknowledge contractual requirements (e.g. identity and right to work verification have been performed by you as an employer). Namely:
    - all staff assigned to perform services are legally eligible and authorized to work in the jurisdiction where they are performing services;
    - all staff assigned to perform services have all appropriate and applicable visas, work permits and permissions to do so; and.
    - it will comply with all applicable laws in particular with (i) immigration laws and regulations of the relevant jurisdiction and (ii) data protection laws;
    - it will not prevent or discourage staff from applying for or obtaining appropriate and applicable visas, work permits or permissions to enable them to continue to work in any given location.
  - When executing the vetting, UBS shall:
    - be responsible and liable for choosing, instructing and supervising vetting service providers;
    - comply, and will procure the vetting service providers to comply, with all applicable laws, including the relevant data protection laws;
    - ensure that vetting data is accessible only to the personnel of UBS and the relevant vetting service providers on a "need-to-know" basis and for a restricted period of time; and
    - use commercially reasonable efforts to guard against the unauthorized or unlawful access, loss or destruction of vetting data.

3 External staff vetting: UBS requirements (2/3)

- **Vetting**
  - UBS and/or a vetting service provider designated by UBS will execute the vetting for category I staff and category III staff (including any subcontractors / 4th party staff) in line with the minimum requirements of the Global Staff Vetting policy. Supplier agrees to provide all reasonable support to UBS, including obtaining all prior consents and permissions from the staff as may be required in order to provide the requested information to UBS and/or the vetting service provider, so that the vetting can be completed on a timely basis.
  - Based on the vetting results, UBS will reasonably determine if any staff has failed to meet the vetting check requirements and will notify the supplier if such staff should not provide (or continue to provide) services to UBS. For the avoidance of doubt, this does not mean that supplier is required to terminate the employment of the affected staff i.e. supplier may reassign the affected staff to other work or assignments for supplier's other clients as supplier deems appropriate.
  - Supplier agrees and accepts that within the course of the vetting process, the staff's data may be transferred cross-border, including, but not limited to, to the vetting service providers.
  - No staff shall provide any services to UBS before pre-start vetting has been completed.
  - UBS will ensure that the supplier is notified of the decision whether a staff member is eligible or not to provide any services to UBS. Based on the vetting results, UBS will reasonably determine if any staff has failed to meet the vetting check requirements and will notify the supplier if such staff should not provide services to UBS. Upon receiving the information, the supplier will not engage the candidate or withdraw the candidate from the engagement for UBS with immediate effect

- **Country vetting specifications**
  - The country vetting specifications set out the minimum requirements for vetting as determined and defined by UBS.
  - The country vetting specifications may be amended by UBS at any time to the extent deemed necessary or appropriate by UBS (e.g. in case of changes of legislation). Any changes will be posted in advance of the effective date on the Level 2 supplier site. Changes will apply to all future vetting cases, initiated no earlier than the effective date.

3 External staff vetting: UBS requirements (3/3)

- **Change of position, periodic staff vetting (re-vetting)**
  - Before a staff member changes position or role which leads to a change of external staff category or before a staff member changes the country where he/she is performing the services, supplier shall inform UBS about such change, and UBS shall determine if a new vetting process for such staff should be initiated, in order for UBS to assure itself that the affected staff member meets the applicable vetting check requirements for the new external staff category or the new country of services, as the case may be.
  - Risk-sensitive staff are subject to pre-defined periodic vetting as determined by UBS. UBS, however, reserves the right at any time to require vetting of any already vetted risk-. sensitive staff, irrespective of whether positions have changed or not, if deemed necessary or appropriate by UBS.

4 Process flow chart as of 1 July 2025

The UBS Group business contact can only raise a vetting / onboarding request when contract is draft, draft amendment or published. Staff vetting may only be initiated after data protection eligibility assessments (e.g. Supplementary form) has been considered for the vetting process.

Supplier / External Staff@	UBS Business Contact	UBS Staff Vetting Operations Team	Vetting Vendor
1 **Supplier** conducts ID and Right to Work checks **Supplier** provides UBS business contact with: – Complete Staff Vetting Declaration form (including agreed subcontractors) – A copy of a valid ID (where legally allowed) – Self-Declaration for Relatives and Relationship and External Directorship (for Category I only) – Additional documents – if applicable	2 Initiate staff Vetting via the HR portal Note: make sure to submit all mandatory documents, incl the Staff Vetting Supplementary Forms* - if applicable AND a UBS cost center	3 Checks completeness of external staff request and the attached documentation (if applicable). Reach out to UBS Business Contact in case of missing information. If information is missing under the request, Vetting / Onboarding may get delayed. Perform initial Background / re-engagement checks and coordinate findings, if needed. Create a vetting case on the Vetting Vendor's platform.	4 If required, sends invitation to the candidate prior to initiate vetting checks. Checks may only be initiated following candidate completion of the vetting vendors questionnaire (including consent) on vetting vendor platform
5a Supplier will not be informed in case of delayed start date. UBS Business contact is informed.	5b UBS Group Business Contact will be informed by HR in case of delayed start date	5c If a candidate fails to complete the registration on the vetting vendor platform (or fails to provide supporting documents to UBS Group or to the Vetting Vendor as requested) in a timely manner, the start date will be delayed, until all checks are completed	6 Submit check results.
10 Receive confirmation that vetting is completed.	9 UBS Group Business Contact receive confirmation that vetting is completed. Cleared vetting will trigger onboarding.	7 Monitor submission of vetting checks. Escalate unsatisfactory vetting results, if needed.	
11 Once the vetting is completed, the contract assessment is performed by EXAR. If the contract is not executed, the start date will be delayed, and the business contact will be informed.		8 Inform UBS Group Business Contact once vetting is completed.	

* For further information on the Staff Vetting Supplementary Forms please review slide 9

@New joiners can start only after successful clearance of UBS vetting requirements (or an approved vetting exception) our contracting tool (Logistics Platform) reflects a contract status of Published, Draft Amendment, or Pending with a start date on or before the new joiner's start date

5 Vetting process for category I and III for UBS Group onboardings (1/3)

Vetting initiation – Supplier (action may be taken as early as 6 months (3 months for the Americas) prior to the new joiner's start date)

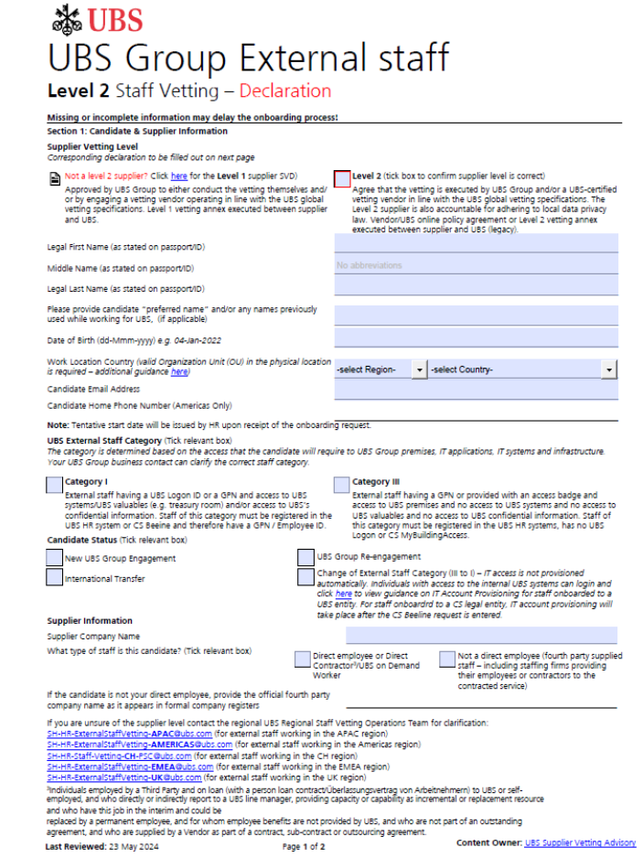
Action by Supplier:

- Complete and sign the Level 2 Staff Vetting Declaration form (if possible, do not wait until the contract is signed. However, you must have contractually agreed to UBS's vetting standards prior to onboarding)
- Important: Identify whether the candidate is your direct employee/not your direct employee. Add the correct name of the subcontractor (e.g., 4th party staff) as it appears in formal company registers in case the staff it is not your direct employee.
- Ask the candidate to complete and sign the Self-Declaration for External Directorship and Relatives and Relationship form (for Category I only)
- Obtain a copy of a valid ID document (where legally allowed)
- Submit all of the above documents/information (and any additional upon request) to the UBS Group Business Contact.

Note: Missing or incomplete information will delay the vetting/onboarding process

- Ensure that the candidate is aware of the UBS vetting process and that he/she completes the vetting vendor questionnaire within 5 business days – a delay might lead to a change in start date.

Staff Vetting Declaration form



UBS

UBS Group External staff

Level 2 Staff Vetting – Declaration

Missing or incomplete information may delay the onboarding process!

Section 1: Candidate & Supplier Information

Supplier Vetting Level

Corresponding declaration to be filled out on next page

Not a level 2 supplier? Click here for the **Level 1** supplier SVD)

Approved by UBS Group 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 (tick box to confirm supplier level is correct)

Agree that the vetting is executed by UBS Group 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. Vendor/UBS online policy agreement or Level 2 vetting annex executed between supplier and UBS (legacy).

Legal First Name (as stated on passport/ID)

Middle Name (as stated on passport/ID) — No abbreviations

Legal Last Name (as stated on passport/ID)

Please provide candidate "preferred name" and/or any names previously used while working for UBS, (if applicable)

Date of Birth (dd-Mmm-yyyy) e.g. *04-Jan-2022*

Work Location Country *(valid Organization Unit (OU) in the physical location is required – additional guidance here)* -select Region- -select 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 Group premises, IT applications, IT systems and infrastructure. Your UBS Group 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 or CS Beeline and therefore have a GPN / Employee ID.

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 systems, has no UBS Logon or CS MyBuildingAccess.

Candidate Status (Tick relevant box)

New UBS Group Engagement

International Transfer

UBS Group Re-engagement

Change of External Staff Category (III to I) – *IT access is not provisioned automatically. Individuals with access to the internal UBS systems can login and click here to view guidance on IT Account Provisioning for staff onboarded to a UBS entity. For staff onboarded to a CS legal entity, IT account provisioning will take place after the CS Beeline request is entered.*

Supplier Information

Supplier Company Name

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

Direct employee or Direct Contractor[1]/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

If you are unsure of the supplier level contact the regional UBS Regional Staff Vetting Operations Team for clarification:
CH-HR-ExternalStaffVetting-**APAC**@ubs.com (for external staff working in the APAC region)
CH-HR-ExternalStaffVetting-**AMERICAS**@ubs.com (for external staff working in the Americas region)
CH-HR-StaffVetting-CH-FC@ubs.com (for external staff working in the CH region)
CH-HR-ExternalStaffVetting-**EMEA**@ubs.com (for external staff working in the EMEA region)
CH-HR-ExternalStaffVetting-**UK**@ubs.com (for external staff working in the UK region)

[1]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 outstanding agreement, and who are supplied by a Vendor as part of a contract, sub-contract or outsourcing agreement.

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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 *(performed by Supplier)*	required	required
Right to Work Verification *(performed by Supplier)*	required	required
Domestic and International Criminal Record Check*	required	required
Domestic and International Credit Check*	required	not required
Global Background Check *(performed by UBS)*	required	required
Fingerprinting Check *(US only, performed by UBS)*	required	required
Relatives and Relationships *(self-declaration)*	required	not required
External Directorship *(self-declaration)*	required	not required
External Directorship *(database search)*	required	not required
Registered Status	required, if applicable	not applicable
Regulatory Reference *(UK only)*	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.

*Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 6 months over the last 5 years.

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 2 Supplier Declaration

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

1. Candidate was informed that UBS Group will:

a. **Initiate a vetting case with vetting vendor** HireRight UK, (EMEA), First Advantage/FADV Singapore (APAC), Cliive US (AME) — Yes

b. **Undertake a Global Background Check** For further information on how UBS Grop processes the candidate's data, the candidate's rights and how to exercise these rights, please refer candidate to the following link: Vendor Employee Privacy Notice — Yes

c. Delay candidate's start date with UBS Group 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) (No passport/ID document shall be provided for the following countries: Hungary, Korea, Poland) — Yes

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

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. the candidate is 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 3 months from signature date)

Place | Date (dd-Mmm-yyyy) | Last Name, First Name | Signature

(Signatures accepted: digital image / photo of signature, tablet / e-pen / scanned with physical signature.

Font typed or mouse drawn signatures not accepted.)

Joint signature if applicable

Place | Date (dd-Mmm-yyyy) | Last Name, First Name | Signature

(Signatures accepted: digital image / photo of signature, tablet / e-pen / scanned with physical signature.

Font typed or mouse drawn signatures not accepted.)

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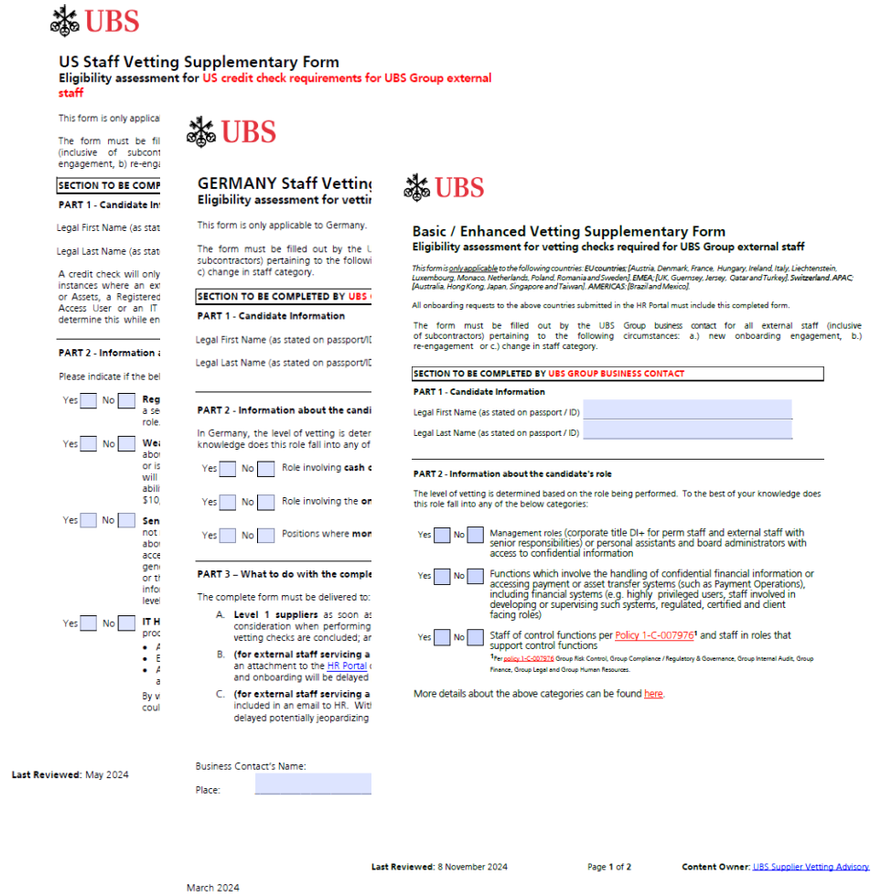
5 Vetting process for category I and III for UBS Group onboardings (2/3)

Vetting initiation – UBS Group business contact.

Action by UBS Group business contact ('hiring manager')

- Completes the Staff Vetting Supplementary form* declaration (if applicable for hiring country).
- Once a contract ID is available in the logistics platform, initiates the staff vetting including the Submission of relevant documentation from the supplier and a UBS cost center as follows:
  - Create an external staff onboarding request via the HR Portal
- Defines the staff category. The category is based on the access required when the candidate commences engagement at UBS (see slide 3).
- Submits and plans the new joiner's start date in consideration of the 20-day lead time for. vetting.
- Reviews supplier documentation and ensure it is complete and correct prior to submission to HR.
- Only for exceptional cases: Raises an exception to the Global Staff Vetting policy request (supported by required business approvals) with HR's staff vetting operations team if the candidate meets required criteria; if the exception is approved, shares the details with the supplier.
- Note: if the vetting case clears earlier and the contract is executed, you may request HR to move your new joiner'sstart date earlier.

Examples: Staff vetting supplementary forms



UBS

US Staff Vetting Supplementary Form

Eligibility assessment for US credit check requirements for UBS Group external staff

This form is only applica

The form must be fil (inclusive of subcont engagement, b) re-engi

SECTION TO BE COMP

PART 1 - Candidate In

Legal First Name (as stat

Legal Last Name (as stat

A credit check will only instances where an ex or Assets, a Registered Access User or an IT determine this while en

PART 2 - Information a

Please indicate if the bel

Yes No Reg a se role.

Yes No Wei abo or is will abili $10,

Yes No Sen not abo acce gen or t info leve

Yes No IT H proc

By v coul

Last Reviewed: May 2024

UBS

GERMANY Staff Vettin

Eligibility assessment for vetti

This form is only applicable to Germany.

The form must be filled out by the L subcontractors) pertaining to the followi c) change in staff category.

SECTION TO BE COMPLETED BY UBS

PART 1 - Candidate Information

Legal First Name (as stated on passport/ID

Legal Last Name (as stated on passport/ID

PART 2 - Information about the candi

In Germany, the level of vetting is deter knowledge does this role fall into any of

Yes No Role involving cash c

Yes No Role involving the or

Yes No Positions where mor

PART 3 – What to do with the comple

The complete form must be delivered to:

A. Level 1 suppliers as soon as consideration when performing vetting checks are concluded; ar

B. (for external staff servicing a an attachment to the HR Portal and onboarding will be delayed

C. (for external staff servicing a included in an email to HR. Witl delayed potentially jeopardizing

Business Contact's Name:

Place:

March 2024

UBS

Basic / Enhanced Vetting Supplementary Form

Eligibility assessment for vetting checks required for UBS Group external staff

This form is only applicable to the following countries: EU countries [Austria, Denmark, France, Hungary, Ireland, Italy, Liechtenstein, Luxembourg, Monaco, Netherlands, Poland, Romania and Sweden], EMEA: [UK, Guernsey, Jersey, Qatar and Turkey], Switzerland, APAC: [Australia, Hong Kong, Japan, Singapore and Taiwan], AMERICAS: [Brazil and Mexico].

All onboarding requests to the above countries submitted in the HR Portal must include this completed form.

The form must be filled out by the UBS Group business contact for all external staff (inclusive of subcontractors) pertaining to the following circumstances: a.) new onboarding engagement, b.) re-engagement or c.) change in staff category.

SECTION TO BE COMPLETED BY UBS GROUP BUSINESS CONTACT

PART 1 - Candidate Information

Legal First Name (as stated on passport / ID)

Legal Last Name (as stated on passport / ID)

PART 2 - Information about the candidate's role

The level of vetting is determined based on the role being performed. To the best of your knowledge does this role fall into any of the below categories:

Yes No Management roles (corporate title DI+ for perm staff and external staff with senior responsibilities) or personal assistants and board administrators with access to confidential information

Yes No Functions which involve the handling of confidential financial information or accessing payment or asset transfer systems (such as Payment Operations), including financial systems (e.g. highly privileged users, staff involved in developing or supervising such systems, regulated, certified and client facing roles)

Yes No Staff of control functions per Policy 1-C-007976[1] and staff in roles that support control functions

[1] per policy 1-C-007976 Group Risk Control, Group Compliance / Regulatory & Governance, Group Internal Audit, Group Finance, Group Legal and Group Human Resources.

More details about the above categories can be found here.

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*US Staff Vetting Supplementary Form, Germany Staff Vetting Supplementary Form, or the "basic / enhanced" Staff Vetting Supplementary Form applicable to the following countries: Austria, Denmark, France, Guernsey, Hungary, Ireland, Italy, Lichtenstein, Luxembourg, Netherlands, Poland, Portugal, Romania, Sweden, UK, Switzerland, Australia, Singapore, Brazil, Mexico, Japan, Taiwan, Hong Kong, Bahrain, Jersey, Monaco, Turkey, Qatar. For China and South Africa country there are country specific forms.

5 Vetting process for category I and III for UBS Group onboardings (3/3)

Vetting and onboarding initiation – Human Resources

Action by UBS Group HR:

- Validate the external staff request and mandatory documentation – in case of missing/incorrect information, the Regional Staff Vetting Operations team will reach out to the. Supplier and/or the UBS Business Contact – Vetting will not be started, and onboarding may get delayed
- If a vetting exception to start has been raised by the UBS Group Business Contact, review the exception, confirm that the contract ID is "published", "draft amendment" or "pending", confirm that the contract ID has a contract effective start date on or before the new joiner's start date, and decide whether it can be granted (in line with agreed exception process); inform the UBS Business Contact about the final exception decision.

Note: Contract completion is a Procurement Policy requirement. HR cannot grant contracting exception and will therefore reject the vetting exception request.

- Review the Staff Vetting Supplementary forms to apply vetting restrictions – if applicable.
- Perform initial "in-house" vetting checks (Background Checks (e.g. sanctions) / Re-engagement checks) and coordinate activities related to unsatisfactory vetting results.
- Create a vetting case on the vetting vendor's platform. The vetting vendor sends an invite to the candidate to register and fill-out the questionnaire.
- Send an email notification to the candidate about the vetting initiation.
- Monitor the vetting case. The UBS business contact will be informed of any start date delays.
- Provided all initial vetting checks are ok/cleared, information to be sent to the UBS Group business contact.
- GPNs are created in parallel to the vetting process. If the contracting or vetting is not complete 3 days prior to the anticipated start date, the start date will be postponed, and notifications will be sent to UBS Group Business Contact.
- Candidates cannot start services until all vetting checks are completed/cleared and the contracting requirements are met.

6 Data security matters

Vetting vendors to perform criminal check, credit check and external directorship check – if applicable in the respective country*

Data protection

1. Vetting evidence must be archived and purged as required by the legislator of each country.

2. Vetting results (ok, not ok) will be retained for 10 years.

3. Access to vetting results within UBS HR is limited and controlled. Data access within UBS is provided on a strict need-to-know basis.

*Detailed information can be found in the country specification on the supplier level 2 webpage

7 Additional information - for the US only

US: Fingerprint Collection:

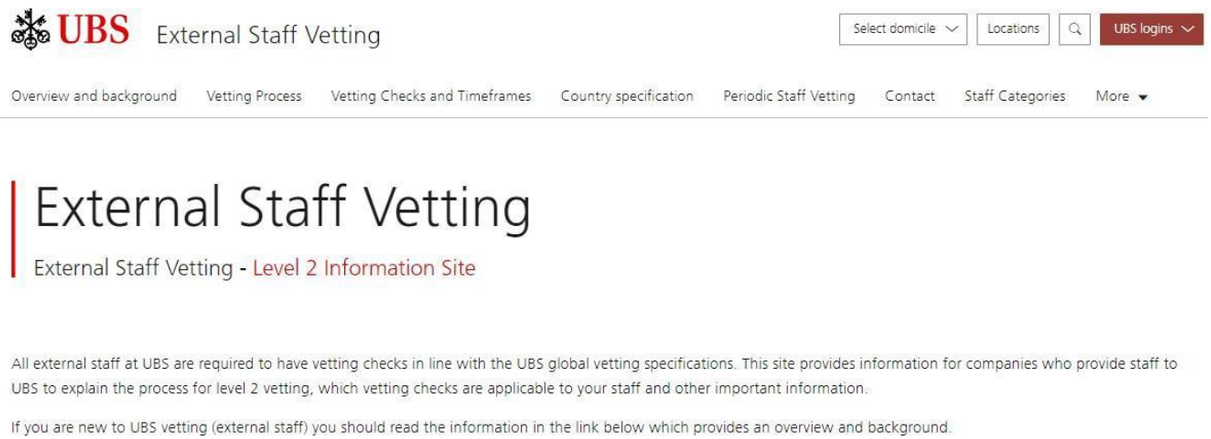
- ✓ UBS Regional Staff Vetting Operations Team provides fingerprinting collection instructions to the external staff candidate (copying the UBS Business Contact ('Hiring Manager')) and the Supplier.
- ✓ Fingerprints are collected from the external staff candidate at a UBS home office location or BIG Fieldprint location to identify any criminal arrests/charges. On request of UBS Regional Security Services only, the vetting vendor conducts criminal record checks within the jurisdiction(s) where criminal charges were identified.
- ✓ The vetting vendor will provide the vetting results directly to UBS Regional Security Services who will escalate any finding to determine the eligibility of the external staff candidate.

8 UBS level 2 supplier webpage

Access to the UBS level 2 supplier webpage

- The level 2 vetting information site is available on the internet, which allows for external access for suppliers/ vendors who are onboarding staff to UBS.
- All content is proprietary to UBS and should only be shared with staff requiring this information to support onboarding. e.g. human resources, recruitment, account management, and staff that require vetting for an engagement/assignment at UBS).

Website

- https://www.ubs.com/global/en/external-staff-vetting-level-two.html

Look out for UBS page