

# Vetting Specification for External Staff CHILE

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.<br>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.<br>- 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.<br>- Personal relationship: management reporting line.<br><br>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.<br><br>Answers are adequately documented.   | No external directorship and positions.                                | Pre-UBS start date |
| Registered Status / Statutory Disqualification         |   | Not applicable for Chile   |  | N/A                |
| Criminal Record Check                                  | Criminal Check conducted through the Civil Service Registry with explicit consent of the applicant. | Document(s) need to be original and current; e.g. dated not older than 3 months from UBS start date.<br><b>Onboarding:</b> 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).<br><b>Periodic Vetting:</b> 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).<br><br>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   |   | Credit Check not applicable for external staff.  |  | N/A                |
| External Directorship (Database Search)                | Public database   | Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.<br><br>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 |