



# GERMANY Staff Vetting Supplementary Form

## Eligibility assessment for vetting checks required for UBS Group external staff

This form is only applicable to **Germany**.

The form must be filled out by the UBS Group business contact for all **Level 1** external staff (inclusive of subcontractors) pertaining to the following circumstances: a) new engagement, b) re-engagement c) change in staff category.

**Fields marked with an asterisk (\*) are mandatory.**

<b>SECTION TO BE COMPLETED BY UBS GROUP BUSINESS CONTACT</b>
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### PART 1 - Candidate Information\*

Legal First Name (as stated on passport/ID) \_\_\_\_\_

Legal Last Name (as stated on passport/ID) \_\_\_\_\_

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### PART 2 - Information about the candidate's role\*

In Germany, 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  Role involving **cash or non-cash transactions** of customers.

Yes  No  Role involving the **onboarding of new business relationships**.

Yes  No  Positions where **money laundering or terrorist financing** could be promoted.

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### PART 3 – What to do with the complete form\*

The complete form must be delivered to:

- A. **Level 1 suppliers** as soon as the staff is identified. Suppliers must take the answers into consideration when performing vetting checks and staff will not be allowed to start before all vetting checks are concluded; and
- B. **(for external staff servicing a UBS legal entity) HR** for all staff (level 1 supplier) as an attachment to the [HR Portal](#) onboarding request. Without this form vetting will not be started, and onboarding will be delayed potentially jeopardizing the start date of your new joiner

**Please validate the form and then provide a Business Contact name, place and date.**

Business Contact's Name:\* \_\_\_\_\_

Place:\* \_\_\_\_\_ Date (dd-mm-yyyy):\* \_\_\_\_\_

**SECTION WITH INSTRUCTIONS FOR SUPPLIERS**

<b>Level 1 suppliers</b>	<ol style="list-style-type: none"><li>1. Review the answers provided by the UBS Group business contact under part 2 of this document.<ol style="list-style-type: none"><li>i. If the answers to all questions are <b>'No'</b>, you are not allowed to perform any criminal and/or credit checks for the staff engaged for the role.</li><li>ii. If there is <b>at least one 'Yes'</b> answer, you are allowed to perform criminal and/or credit check for the staff engaged for the role.</li></ol></li><li>2. Remember that all checks must be completed before the staff member is allowed to start with UBS Group and before you submit the Staff Vetting Declaration Form to UBS.</li><li>3. On the Staff Vetting Declaration Form, indicate whether you have considered applying the criminal and/or credit checks for the staff – to evidence that the form was reviewed and appropriate actions were taken.</li><li>4. Submit the Staff Vetting Declaration Form to UBS in line with the process. Make sure this is done only once all vetting checks are fully completed.</li></ol>
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