



Basic / Enhanced Vetting Supplementary Form

Eligibility assessment for vetting checks required for UBS Group external staff

This form is applicable for onboarding to **China** only. All onboarding requests for **China** submitted in the HR Portal from the **2nd September 2024** onwards must include this completed form.

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 onboarding engagement, b.) re-engagement or c.) change in staff category.

Fields marked with an asterisk (*) are mandatory.

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 External staff with senior responsibilities (similar to Director or above) or a personal assistant or external board administrator with access to sensitive information (e.g., privy to unpublished price-sensitive information)

Yes No Staff member responsible for at least one of the following:
- handling confidential financial information and/or
- accessing trade, payment or asset transfer systems (either as user, super user, developer or product owner) and/or
- having a "Highly Privileged User" entitlement (elevated access rights to critical infrastructure, applications, or databases) and/or
- holding either a Front Office ('Front') or Revenue Generating ('REV') role according to the "job function code" per the UBS GRCF Landscape

Yes No Staff of control functions per **Policy 1-C-007976¹** and staff in roles that support control functions
¹Per **policy 1-C-007976** Group Risk Control, Group Compliance / Regulatory & Governance, Group Internal Audit, Group Finance, Group Legal and Group Human Resources.

Yes No Staff engaged by regulated entities in China to act as board directors (董事) / supervisors (监事) / senior managers (高级管理人员) / Practitioners of Industry (从业人员)², or staff be required for any license.
¹ Per Policy 1-C-007976 Group Risk Control, Group Compliance / Regulatory & Governance, Group Internal Audit, Group Finance, Group Legal and Group Human Resources.
² Practitioners of Industry refer to staff is (to be) employed by any of following regulated legal entities or their branches, or personnel is engaged in those entities' business with labor agreement signed with others. Such personnel includes external staff subject to regulatory requirements.
Line Manager should consult with C&ORC for clarity.
UBS (China) Limited
UBS Securities Co. Limited
UBS Futures Co. Limited
UBS Asset Management (Shanghai) Limited
UBS Rui Hua Overseas Investment Fund Management (Shanghai) Ltd. UBS Asset Management (China) Limited
UBS Fund Distribution (Shenzhen) Co., Ltd.

More details about the above categories can be found [here](#).

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: *

(e.g. Zurich)

Date (dd-mm-yyyy): *

SECTION WITH INSTRUCTIONS FOR SUPPLIERS
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Level 1 suppliers	<ol style="list-style-type: none"> 1. Review the answers provided by the UBS Group business contact under part 2 of this document. <ol style="list-style-type: none"> i. If the answers to all questions are 'No', you are not allowed to perform any criminal and/or credit checks for the staff engaged for the role. ii. If there is at least one 'Yes' answer, you are allowed to perform criminal and/or credit check for the staff engaged for the role taking into accounts the checks that are permissible in line with the country requirements. 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 Group. 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. 4. Submit the Staff Vetting Declaration Form to UBS Group in line with the process. Make sure this is done only once all vetting checks are fully completed.
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