



US Staff Vetting Supplementary Form

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

This form is only applicable to the **United States**.

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

Fields marked with an asterisk (*) are mandatory.

SECTION TO BE COMPLETED BY UBS GROUP BUSINESS CONTACT
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PART 1 - Candidate Information*

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

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

A credit check will only be required in accordance with applicable federal, state and/or local laws in the instances where an external staff fulfills one of the following conditions: Responsible for UBS Funds or Assets, a Registered person, assigned to Wealth Management Americas, is a UBS Sensitive Data Access User or an IT Highly Privileged User (HPU). The UBS Group business contact will have to determine this while engaging with the supplier and raising the onboarding request.

PART 2 - Information about the candidate's role*

Please indicate if the below categorizations are applicable to the role of your joiner.

Yes No **Registered Personnel** – The candidate mentioned above is currently registered with a securities or commodities exchange or must get registered in order to perform the role.

Yes No **Wealth Management Americas External Staff** – The candidate mentioned above is being assigned to a Wealth Management Americas Branch Office location, or is being assigned to a Wealth Management Americas Home Office location and will have disbursement authority for funds or assets worth \$10,000 or more, or the ability to bind the organization by entering into an agreement or contract for \$10,000 or more.

Yes No **Sensitive Data Access Users** – (Access to Client Identifying Data (CID) alone does not meet the criteria defined under this category): The candidate mentioned above will have access to trade secrets, insider, or non-public information (e.g. access to unpublished financial reports, etc.). Trade secret definition excludes general proprietary company information such as handbooks and policies, access to or the use of client, customer or mailing lists. In addition, trade secrets do not include information regularly collected in the course of business or regularly used by entry-level and non-salaried employees and supervisors or managers of such employees.

Yes No **IT Highly Privileged Users** – the candidate mentioned above will have sufficient production and/or business continuity entitlements to:

- Access and the ability to alter a system's configuration; and/or
- Enable direct administrative access to an application; and/or
- Alter a system's stored data; Interrupt or interfere with a system or application's normal mode of operation.

By virtue of these privileged entitlements, function and knowledge, candidate could inflict significant damage on the bank either deliberately or negligently.

PART 3 – What to do with the completed 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 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):* _____
 (e.g. Zurich)

SECTION WITH INSTRUCTIONS FOR SUPPLIERS

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 credit checks for the staff engaged for the role. ii. If there is at least one 'Yes' answer, you are allowed to perform credit check for the staff engaged for the role. 2. Remember that all checks must be completed before the candidate is allowed to start with UBS Group and before you submit the Staff Vetting Declaration Form to UBS. 3. On the Staff Vetting Declaration Form, indicate whether you have considered applying the 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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