



UBS Group External staff

Level 1 Staff Vetting – Declaration

Missing or incomplete information may delay the onboarding process!

Section 1: Your staff member & Supplier Information

Supplier Vetting Level

Corresponding declaration to be filled out on next page

Level 1

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.

Not a level 1 supplier? Click [here](#) for the level 2 supplier SVD)

Agree that the vetting is executed by UBS and/or a UBS-certified vetting vendor in line with the UBS Group 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).

Fields marked with an asterisk (*) are mandatory.

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

Middle Name (as stated on passport/ID) _____

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

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

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

Work Location Country (valid Organization Unit (OU) in the physical location is required – additional guidance [here](#))* _____

Your staff member Email Address _____

Your staff member Home Phone Number (Americas Only) _____

Note: Tentative start date will be issued by HR upon receipt of the onboarding request.

Your staff member Category (Tick relevant box)*

The category is determined based on the access that the your staff members 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 and therefore have a GPN.

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 and have no UBS Logon.

Your staff member Status (Tick relevant box)*

New UBS Group Engagement

UBS Group Re-engagement

International Transfer

Change of External Staff Category (III to I) – IT access is not provisioned automatically. Individuals with access to the internal UBS Group systems can login and click [here](#) to view guidance on IT Account Provisioning for staff onboarded to a UBS legal entity.

Supplier Information*

Supplier Company Name _____

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

Direct Employee / or direct Contractor³/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 your staff member 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 Group Staff Vetting Operations Team for clarification:

SH-HR-ExternalStaffVetting-APAC@ubs.com (for external staff working in the APAC region)

SH-HR-ExternalStaffVetting-AMERICAS@ubs.com (for external staff working in the Americas region)

SH-HR-Staff-Vetting-CH-PSC@ubs.com (for external staff working in the CH region)

SH-HR-ExternalStaffVetting-EMEA@ubs.com (for external staff working in the EMEA region)

SH-HR-ExternalStaffVetting-UK@ubs.com (for external staff working in the UK region)

³Individuals employed by a Third Party and on loan (with a person loan contract/Überlassungsvertrag von Arbeitnehmern) to UBS Group or self-employed, and who directly or report indirectly 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 not supplied by a Vendor as part of a contract, sub-contract or outsourcing agreement.

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

All vetting checks are required to be completed pre-start. Your staff member will not be allowed to join UBS before all mandatory checks are completed or an HR vetting exception request is submitted by your UBS Group internal business partner and approved by HR.

*Document(s) must cover all the jurisdictions / countries where your staff member has resided, was employed, attended school or lived more than 6 months over 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 1 Supplier Declaration

This section should only be completed by suppliers who are pre-approved by UBS Group HR to perform vetting themselves.

Completion of the required checks, as outlined in the country specification, must be available for evidence or summarized in a vetting vendor report (e.g. a HR pre-approved vetting vendor).

The documents are expected to be no older than 6 months (3 months for staff onboarded in the Americas) from your direct employee’s or subcontractor’s UBS Group start date/engagement date. However, where Credit and / or Criminal checks are permissible for staff onboarded outside of the Americas, these document(s) must be original and dated no older than 3 months from vetting case completion (or from the UBS Group start date, which ever is earlier).

These documents will be critical to proving our compliance with UBS Group’s vetting standards per contractual agreement.

1. Declaration Pre-Start Check Completion – Select one of the following:*

- a. Pre Start Checks completed (according to the schedule below) Yes
- b. Pre Start Check not completed as per the approved policy exception request¹ from UBS. The supplier is obliged to inform the Regional Staff Vetting Operations Team² about the successful completion of all checks within 4 weeks after the start date. Identity Check and Right to Work Verification are not subject to an exception and must be completed before the declaration is submitted to UBS. Yes

¹It is for the UBS Group business contact to submit the complete exception request when raising an onboarding request. Every exception request will be reviewed on a case-by-case basis and a decision will be communicated to the UBS Group business contact.

²Contact details to the Staff Vetting Operations Teams:

APAC: SH-HR-ExternalStaffVetting-APAC@ubs.com Europe EMEA: SH-HR-ExternalStaffVetting-EMEA@ubs.com
 Americas: SH-HR-ExternalStaffVetting-AMERICAS@ubs.com UK: SH-HR-ExternalStaffVetting-UK@ubs.com

2. Declaration Pre-Start Check Completion – Select one of the following*:

If there are no dates provided or if an N/A is not justified in the comments, the form will be returned to you for changes.

Global Mandatory Check	Completion date (dd-mm-yyyy)	Comments
Identity Check		
Right to Work Verification		
Domestic and International Criminal Record Check		
Domestic and International Credit Check		
Relatives and Relationships (self-declaration)		
External Directorship (self-declaration)		
External Directorship (database search)		
Registered Status		
Regulatory Reference (UK only, if applicable)		
Vetting Case Completion Date *		

Vetting checks are initiated no earlier than 6 months (3 months for the Americas) from the anticipated new joiner's start date. For Credit and Criminal, checks, where permissible, document(s) must be original and current, e.g., dated not older than 3 months from the start date, or the vetting case completion date, whichever is earlier.

3. Declaration on data protection rules – Select one of the following:*

- a. Data protection restrictions have been reviewed and considered (in line with the eligibility assessment form for the relevant country delivered by UBS) Yes
- b. Data protection restrictions are **NOT** applicable for the country where your staff member is hired (i.e. no eligibility assessment form delivered by UBS) Yes

4. Declaration Pre-Start Check Completion – Select one of the following:*

- a. **NO** declaration in the relatives and relationships and/or external directorship check Yes
- b. **ONE** or **MORE** declaration in the relatives and relationships and/or external directorship check Yes

The Supplier is obliged to **report all relatives and relationships and/or external directorship disclosure and the findings of the external directorship database search (prior to submitting this document)**. Send a separate email to the UBS Regional Staff Vetting Operations Team and attach the Relationship and Directorship self-declaration:
SH-HR-ExternalStaffVetting-APAC@ubs.com (for external staff working in the APAC region)
SH-HR-ExternalStaffVetting-EMEA@ubs.com (for external staff working in the EMEA region)
SH-HR-ExternalStaffVetting-AMERICAS@ubs.com (for external staff working in the Americas region)
SH-HR-ExternalStaffVetting-UK@ubs.com (for external staff working in the UK)

5. Your staff member was informed that UBS will undertake a Global Background Check (if applicable)*

For further information on how UBS Group processes your staff member's data, your staff member's rights and how to exercise these rights, please refer your staff members to the following link: [Vendor Employee Privacy Notice](#).

 Yes

6. 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

7. The Supplier is contractually obliged to ensure that

- a. For your staff member, the vetting checks have been completed as set out in UBS's Vetting Specific 'UBS Vetting Finding Guidelines' for level 1 supplier in case of any unsatisfactory vetting results.
- b. For your staff member, any self-declarations relevant for vetting checks have been reported to UBS for review.
- c. For your staff member, in the case of any unsatisfactory vetting results in accordance with 'UBS Vetting Finding Guidelines' for Level 1 Supplier, the supplier will withdraw your staff member from the onboarding process with UBS without undue delay and inform the Staff Vetting Operations Team (see above) and the UBS business contact immediately.
- d. Where the exception to start has been granted by UBS HR or your staff member to start prior to vetting completion:
 - a. completion of outstanding checks should be confirmed by Supplier to the Staff Vetting Operations Team as soon as the checks are concluded but latest 4 weeks after the start date.
 - b. any delays to outstanding checks outside of period of 4 weeks after the start date are reported to the Staff Vetting Operations Team before the relevant deadline is missed. Supplier is obliged to send an email using the template available on the Supplier Level 1 website to the Regional Staff Vetting Operations Team (see above).
 - c. in the case of any unsatisfactory vetting results in accordance with "UBS Vetting Finding Guidelines" for Level 1 Suppliers, the supplier will withdraw your staff member from the UBS engagement without undue delay and inform the Regional Staff Vetting Operations Team (see above) and the UBS business contact immediately.
- e. your staff member is legally eligible and authorized to work in the jurisdiction where Services are performed
- f. your staff member has all appropriate and applicable visas, work permits and permissions to do so.
- g. it will comply with all applicable immigration laws and regulations of the relevant jurisdiction and will not prevent or discourage your staff member from applying for or obtaining appropriate and applicable visas, work permits or permissions to enable your staff member to continue to work in any given location.
- h. your staff member is suitably qualified, skilled and experienced to provide the Services in a professional and timely manner and to a standard acceptable to UBS.

Please validate the document and then sign.

Supplier Representative Signature*

(Staff Vetting Declaration is valid for 3 months from signature date)

Place of signature (e.g. Zurich)	Date of signature (dd-mm-yyyy)	Last Name, First Name	Signature (Signatures accepted: digital image / photo of signature, tablet / e-pen / scanned with physical signature/e-signature. Font typed or mouse drawn signatures not accepted.)
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