



Global Supplier Policy

Records Management Policy



WHY

To enable us to comply with Applicable Laws and our internal policies relating to information retention, deletion and disposal.



WHEN

Whenever we determine that the Services require the creation or Processing of UBS Information on our behalf, as specified in a Records Management Appendix.



WHAT to know about **HOW** to comply.

1. Identification of Records Management Requirements

- UBS will inform you at the time of signing the Agreement of our requirements in relation to your creation or Processing of UBS Information on our behalf. You must comply with those requirements.

2. Retention and Storage

- You must, in relation to the retention or storage of UBS Information, comply with any reasonable changes in our instructions to reflect changes in Applicable Laws or changes in our policies and procedures.
- You must allow us to access UBS Information at any time during term of the Agreement and make UBS Information accessible by UBS personnel for search and retrieval.
- If you are retaining or storing any Records on our behalf, you must maintain sufficient Metadata to locate and manage any related UBS Information.

3. Sending Records to UBS for archiving

- Whenever you send any Records or copies of written electronic communications from your systems to ours, you must comply with Industry Standards relating to information security.

4. Archiving Records on UBS's behalf

- Any Archiving of Records must be done in accordance with the relevant provisions in the Records Management

Appendix. If we require any reasonable changes to the Archiving obligations, we will provide at least 30 days' written notice.

5. Deletion and Disposal

- You must delete or dispose of all Records, including any copies and backups thereof, after successful transfer to the UBS System(s) specified by us and by the end of the Retention Period.
- You must delete or dispose of any UBS Information (including copies or backups there) which are not Records, as soon as the applicable Retention Period ends, or after successful transfer to the UBS System(s) specified by us (whichever comes first).
- We may from time to time notify you that certain UBS Information is subject to Legal Hold. You must retain such UBS Information until we notify you that the Legal Hold has been lifted.
- If you receive a Legal Hold notice from a third party which relates to UBS Information or Records, you must, unless prohibited by Applicable Laws, notify the relevant UBS Contract Manager immediately.
- You must provide, on request, reasonable evidence as to:
 - how Records and UBS Information are retained in your systems;
 - how your deletion and disposal processes work;
 - your compliance with our requirements relating to deletion or disposal of UBS Information.

6. Documentation and reporting

- You must provide, on request, a report on your storage or archiving of UBS Information, including reasonable details as to the relevant processes and any changes you have implemented since the commencement of the Services.

7. Termination and expiry

- Upon termination or expiry of the Agreement, you must transfer all Records and UBS Information to us in accordance with our instructions, together with any related Metadata.
- As soon as possible following termination or expiry of the Agreement, you must confirm in writing your deletion or disposal of all UBS Information and send copies of the relevant evidence logs.