



UBS Group External staff

Level 2 Staff Vetting – Declaration

Missing or incomplete information may delay the onboarding process!

Section 1: Candidate & Supplier Information

Supplier Vetting Level

Corresponding declaration to be filled out on next page

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

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.

Level 2 (tick box to confirm supplier level is correct)

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

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 candidate "preferred name" and/or any names previously used while working for UBS, (if applicable) _____

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

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

Candidate Email Address _____

Candidate Home Phone Number (Americas Only) _____

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

UBS External Staff Category (Tick relevant box)

The category is determined based on the access that the candidate 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 or CS Beeline and therefore have a GPN / Employee ID.

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, has no UBS Logon or CS MyBuildingAccess.

Candidate 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 systems can login and click [here](#) to view guidance on IT Account Provisioning for staff onboarded to a UBS entity. For staff onboarded to a CS legal entity, IT account provisioning will take place after the CS Beeline request is entered.

Supplier Information

Supplier Company Name _____

What type of staff is this candidate? (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 the candidate 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 Regional Staff Vetting Operations Team for clarification:

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 region)

³Individuals employed by a Third Party and on loan (with a person loan contract/Überlassungsvertrag von Arbeitnehmern) to UBS or self-employed, and who directly or indirectly report 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 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 (<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. The candidate will not be allowed to join UBS before all mandatory checks are completed.

*Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 6 months over the 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 2 Supplier Declaration

This section should only be completed by suppliers who are approved by UBS Group as a Level 2 Supplier.

1. Candidate was informed that UBS Group will:

a. Initiate a vetting case with vetting vendor

HireRight UK, (EMEA), First Advantage/FADV Singapore (APAC), Cisive US (AME)

Yes

b. Undertake a Global Background Check

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

Yes

c. Delay candidate's start date with UBS Group if the mandatory pre-start checks are not completed on time and to UBS's satisfaction

Yes

Yes

2. 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 No

3. Form "Self-Declaration for External Directorship and Family Relationship" is attached to the submission

(only required for External Staff Category I)

Yes No

4. Registered Status: Candidate is registered with a financial regulator e.g. FCA, FINRA

5. The Supplier is contractually obliged to ensure that

- the candidate is legally eligible and authorized to work in the jurisdiction where Services are performed,
- the candidate has all appropriate and applicable visas, work permits and permissions to do so.
- it will comply with all applicable immigration laws and regulations of the relevant jurisdiction and will not prevent or discourage the candidate from applying for or obtaining appropriate and applicable visas, work permits or permissions to enable the candidate to continue to work in any given location.
- the candidate is suitably, qualified, skilled and experienced to provide the Services in a professional and timely manner and to a standard acceptable to UBS.

Supplier Representative Signature (candidate signature only accepted in case of self-employed persons)

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

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

Joint signature if applicable

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