

# Vetting Specification for External Staff BRAZIL

Valid as of 01 April 2023

Pre-offer and Pre-start vetting may be started no earlier than 3 months before the UBS start date. For Credit and Criminal, where this check is permissible, document(s) need to be original and current.

Current State				
Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
Identity Check		This check is the responsibility of the supplier.		Pre-UBS start date
Right to work verification		This check is the responsibility of the supplier.		Pre-UBS start date
Global Background Check (COSIMA, GTS, Rehire)	Cosima, GTS, Internal HR systems	Background check to identify records of terrorist/criminal activities or networking; personal misconduct / reputation problem / hostility against UBS or conflict of interest with UBS, negative references concerning trustworthiness, work ethics, reputation. Use UBS internal HR systems to review potential previous engagement information (e.g. termination reasons).	No hits	Pre-UBS start date
Relatives & Relationship	Self-declaration	Candidate needs to be asked whether he/she has family or personal relationships with UBS employees. - Family relationship: spouse, domestic partner or civil partner (or similar as recognised by law), parent (or parent-in-law), sister or brother (or in-law), child, step child. - Personal relationship: management reporting line.  Answers are adequately documented.	No family relationship with UBS.	Pre-UBS start date
External Directorship and Positions (self declaration)	Self-declaration	Candidate needs to be asked whether he / she has any external directorship that could raise a conflict of interests with UBS to disclose. Answers are adequately documented.	No external directorship and positions.	Pre-UBS start date
Registered Status / Statutory Disqualification		Not applicable for Brazil		N/A
Criminal Record Check	Certificate of Criminal Record (Certidao de Antecedentes Criminais ) issued by the Federal Court (Justica Federal de 1a Instancia, Justica Federal de 2a Instancia - second level of jurisdiction) AND Certidao de Antecedentes Criminais Estadual issued by the State Court (Justica Estadual, Tribunal de Justica).	Where this check is permissible, document(s) need to be original and current; e.g. dated not older than 3 months from vetting case completion (or from the start date, whichever is earlier).  <b>Onboarding:</b> Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the last 5 years (required address history).  <b>Periodic Vetting:</b> Document(s) must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the period equal to the frequency of periodic vetting (e.g. if the frequency of periodic vetting is 3 years, the check / address history must cover the last 3 years).  Further proof of residence shall only be requested if circumstances (applicable legal and regulatory requirements) demand such. Identification of any records associated with the candidate.	No entries found in respective document.	Pre-UBS start date
Credit Check		No credit check allowed		N/A
External Directorship (Database Search)	Public database	Database check to identify any external directorships and assess candidate integrity based on external directorship self-declaration.  The check must cover all the jurisdictions / countries where the candidate has resided, was employed, attended school or lived more than 3 months over the last 5 years (required address history)	No hits, no discrepancies between self-declaration and database search	Pre-UBS start date
ESSENTIAL FOOTNOTES:		Page 1 of 2		

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Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
<b>Supplier Vetting Obligations</b>				