

Vetting Specification for External Staff² CHINA

Valid as of 02 September 2024

Pre-offer and Pre-start vetting may be started no earlier than 6 months before the UBS Group start date. For Credit and Criminal, 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).

| 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, Sanctions, GTS, Rehire) | Cosima, CS Global Check, 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). Cosima / GTS check only permissible in cases where criminal check is performed. For criteria, see section "Criminal Record Check". Where COSIMA is not permitted, Sanctions will be performed using CS Global Check. GTS Check: This check only permissible when the candidate is a known rehire. In addition, negative media information held within GTS cannot be considered for vetting purposes | 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 interest with UBS to disclose. Answers are adequately documented. | No external directorship and positions | Pre-UBS start date |
| Registered Status / Statutory Disqualification | Registration search via Regulator's website / database - Chinese Securities Regulatory Commission. | Registered status check only applicable for regulated roles. | Search confirms that the person is registered and that no statutory disqualification exist. | Pre-UBS start date |
| Criminal Record Check | Criminal Record Check - People's Supreme Court (中华人民共和国最高人民法院) via public platform AND Civil Litigation Check conducted via a vendor which allow search using more defined perimeters (eg. ID number, Date of Birth) - source is also People's Supreme Court (中华人民共和国最高人民法院) | Onboarding Cases Checks are only permitted for onboarding cases if any of the following criteria is met: i. Management roles (corporate title DI+ for perm staff and external staff with senior responsibilities) or personal assistants and board administrators with access to confidential information ii. Functions which involve the handling of confidential financial information or accessing payment or asset transfer systems (such as Payment Operations), including financial systems (e.g. highly privileged users, staff involved in developing or supervising such systems, regulated, certified and client facing roles) iii. Staff of control functions per Policy 1-C-007976 and staff in roles that support control functions iv. Staff engaged by regulated entities in China to act as board directors (董事) / supervisors (监事) / senior managers (高级管理人员) / Practitioners of Industry (从业人员) ² , or staff be required for any license 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). Onboarding: 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 (required address history). Periodic Vetting: 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 period equal to the frequency of periodic vetting (e.g. if the frequency of periodic vetting is 4 years, the check / address history must cover the last 4 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 Bankruptcy Check is available in China for employment screening purpose. Due to the process requirement, China credit check is not required for external staff If applicable, international credit or bankruptcy checks to be done for candidates | | N/A |
| Global Dataset Search (Global Dataset Search) | World Check | Background check to identify records of terrorist/criminal activities or networking; personal misconduct ,reputation problem,negative references concerning trustworthiness & reputation. | No Hit | Pre-UBS start date |
| Media Database Search (China) | World Check | Background check to identify records of terrorist/criminal activities or networking; personal misconduct ,reputation problem,negative references concerning trustworthiness & reputation. | No Hit | Pre-UBS start date |
| External Directorship (Database Search) | Public database Check conducted through State Administration for Industry and Commerce | 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 6 months over the last 5 years (required address history) | No hits, no discrepancies between self-declaration and database search | Pre-UBS start date |

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| Current State | | | | |
|-------------------------------------|--|--------------------------|-----------------------------------|--------|
| Check | Sources / Tools | Requirement / Validation | Successful Vetting Check Criteria | Timing |
| ESSENTIAL FOOTNOTE: | | | | |
| Supplier Vetting Obligations | <p>As a Level 1 Supplier you are required to follow the country specifications published on our webpage. This however has to be in line with the approved approach agreed with you by the UBS Vetting Decision Authority at the time you were awarded the label of being a UBS level 1 supplier.</p> <p>Any deviations to the country specs or agreed approach may result in a finding at the time of the level 1 audit e.g., the use of an unapproved vetting vendor.</p> <p>A reminder that any decisions made by you should not expose UBS to any reputational or operational risk.</p> <p>In case a Level 1 supplier does not have the capability to legally perform a particular check (as defined in the country specifications), the supplier should obtain approval from the UBS vetting Decision Authority (DA) to perform an alternative. In such cases (post approval from the DA) the Level 1 supplier may obtain a self-declaration form from the candidate. The Self declaration needs to be completed and dated prior to the start date at UBS and must be available for review at the time of the level 1 audit. A self-declaration only fulfills the condition of a check not being completed if this has been approved prior to onboarding by the UBS vetting Decision Authority (DA).</p> | | | |
| | <p>In case a candidate does not have the required documents / registration for a check to be performed, the supplier must obtain a self-declaration from the candidate. However, such a self-declaration shall only be obtained where a check is legally permissible in the "hiring" location but cannot be conducted due to candidate not fulfilling the required conditions for a check. The self-declaration must be completed and dated prior to the start date at UBS and must be available for review at the time of the level 1 supplier audit.</p> <p>The country specifications define the acceptable documentation and/or data sources for use within a candidate's country of hire.</p> <p>A vetting check is deemed permissible as per the country specifications, and if the candidate has background history or footprint within additional countries outside the "hiring" country acceptable documentation and/or data sources applicable as per that country must be considered.</p> <p>Please note that at all times you should be guided by the country specifications of the onboarding country.</p> | | | |