## Vetting Specification for External Staff TAIWAN

## Valid as of 01 April 2023

Pre-offer and Pre-start vetting may be started no earlier than 6 months before the UBS 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).

Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing
dentity Check	This check is the responsibility of the supplier.			
tight to work rerification	This check is the responsibility of the supplier.			
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
telatives & 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	Not applicable for Taiwan.			
Criminal Record Check	The following database search is required to be performed as an alternative: World Check  (https://risk.thomsonreuters.com/en/products/world-check-know-your-customer.html?gclid=CK_ev T0c0CFcMQaAodSCYFeQ&gclsrc=aw.ds&dclid=CMibzT0c0CFciGjwodJkgN4g) or similar databases which cover information on Politically Exposed persons (PEP), Terrorism, Financial Crimes, Adverse findings published by national newspapers/media	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 3 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 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	Credit check is available but the report covers only the past 3 years. The report is issued by the Taiwanese Joint Credit Information Centre.	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 3 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 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. Check the summary of the candidate credit and bankruptcy history and compare with the address history.	No debt defaults (overdue amounts, collections, litigations) Candidate has not been legally declared a bankrupt.	Pre-UBS start date

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lobal Dataset Search  World Check  Redia Database Search  World Check		Case completion (or from the start date, whichever is earlier).  Current State					
Intelligible Delibers Search Word Classes Wo	Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing		
As a Lord 1 Supplier you are required in follow the country querification problem. Yes also derived the country of the content of the country	ilobal Dataset Search Global Dataset Search)	World Check		No hits	Pre-UBS start date		
As a Level 1 Suppler you are required to lother the country specification of country agreed agrowsh may seem the form of the level 1 Suppler you are required to lother the country specification of country agreed agrowsh may seem the seed of seem of the level 1 Suppler you are required to lother the country specification outside on once when the seed of story a lot to level 1 Suppler you are required to lother the country specification outside of long a lot to level 1 Suppler you are required to lother the country specification outside of long a lot to level 1 Suppler you are required to lother the country specification outside of long a lot to level 1 Suppler you are required to lother the country specification outside of long a lot to level 1 suppler does not have the country specification of the long and the lo	Media Database Search Local)	World Check		No hits	Pre-UBS start date		
As a level 1 Supplier you are required to follow the crustry specifications published on our weekpage. This however has to be in line with the approved approved year warried the lateful of being a URIS level 1 supplier.  Any developed to the country spece or agreed approach may result in a finding at the time of the level 1 suited to give use of an unapproved vetting vendor.  A reminder that any decisions made by you should not expose URIS to any regulational or operational risk.  In case a level 1 supplier does not have the capability to legally periform a particular check and defined in the country specifications, the supplier should alternative in such case-legal approach in the capability to legally periform a particular check is defined in the country specifications, the supplier should alternative in such case-legal approach profits and sufficient and dated prior to the start date at URIS and must be available for review at the time of the level of a supplier should be approached by the condition of the latest should be approached prior to ordicorating by beginning and the URIS vetting Decision Authority (DA).  In case a candidate does not have the required documents / registration for a check to be performed, the supplier and sold-activation media to the supplier and such as a supplier and the supplier a		Public database	directorship self-declaration.  The check must cover all the jurisdictions / countries where the candidate has resided, was employed,		Pre-UBS start date		
published on our webgap. This however has to be in line with the approved approach appread with you by the USP setting Decision Authority at the time you were awarded the side of being a USP level 1 appoint.  Any decisions to the county spece or agreed approach may result in a finding at the time of the level 1 audit e.g., the use of an unapproved wetting vendor.  A reminder that any decisions made by you should not expose USP to any reputational or operational risk.  In case a Level 1 supplier does not have the capability to legally perform a particular check side effect in the currity's specifications, the supplier should obtain approval from the USP with previous and alternative. In such coses (post approar) from the OSP between the supplier may obtain a self-decisiration from thron the candidate. The Self declaration needs to be completed and clared prior to be said the stude and the supplier of the operation of a check not being completed if this has been approved prior to orboarding by the USP setting Decision Authority (DA).  In case a candidate does not have the required discurrents / registration for a duck to be performed, the supplier must obtain a self-declaration from the conducted may be applied to the conducted the completed and deleted prior to the Self-declaration from the conducted day be performed, the supplier must obtain a self-declaration from the conducted day appropriate in the "himp? Conducted day to be applied and deleted prior to the Self-declaration from the conducted day by the Conducted day of the Conducted	SENTIAL FOOTNOTE:						
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.  The country specifications define the acceptable documentation and/or data sources for use within a candidate's country of hire.  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.  Please note that at all times you should be guided by the country specifications of the onboarding country.	Supplier Vetting Obligations	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.  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.  A reminder that any decisions made by you should not expose UBS to any reputational or operational risk.  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 onboarding country.		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.  The country specifications define the acceptable documentation and/or data sources for use within a candidate's country of hire.  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.					