Vetting Specification for External Staff MEXICO

Valid as of 01 July 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.

Closed Scales and Comment of the Com		Current State				
Right to work verification Global Background Recording Control Carella, Clip, internal Ricyclems Carella, Clip, internal Ricyclems Carella, Clip, internal Ricyclems Carella, Clip, internal Ricyclems Carella Control Carel	Check	Sources / Tools	Requirement / Validation	Successful Vetting Check Criteria	Timing	
Schala Statygound Clasky GOSMACTS Contract City Internal I'R systems Contract City Internal I'R syst	Identity Check	This check is the responsibility of the supplier.				
Clocked Large young Control (Critical). Control (Critical) (S. patients) and the Control (Critical) (S. patients)		This check is the responsibility of the supplier.			Pre-UBS start date	
Relatives & Relationship Self-declaration Sel	Check (COSIMA, GTS,	Cosima, GTS, Internal HR systems	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	No hits	Pre-UBS start date	
self-declaration of interest with UBS to disclose. Answers are adequately documented. Registered Status / Statutory Disqualification Criminal Record Check Cr	Relatives & Relationship	Self-declaration	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.	No family relationship with UBS.	Pre-UBS start date	
Statutory Disqualification Criminal Record Check Credit Report from Buro de Crédito at Mexico City (Report can be obtained at http://www.burodecredito.com.mu/) Note: Falling to hire an individual for credit reasons may be considered discriminatory. Pre-UBS start External Directorship (Obabases Search) Public database Not applicable for Mexico Not applicable for M	and Positions (self	Self-declaration	of interest with UBS to disclose.	No external directorship and positions.	Pre-UBS start date	
Credit Check Credit Report from Buro de Crédito at Mexico City (Report can be obtained at http://www.burodecredito.com.mx/) Note: Failing to hire an individual for credit reasons may be considered discriminatory. Credit Check Database Check to Identify any external directorships and assess candidate integrity based on external directorships and assess candidate has resided, was employed, attended school or lived more than 16 months over the last 5 years (required address history). Where this check is permissible, 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 part of a public database Where this check is permissible, document(s) nust 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 verting is 3 years, the check / address history must cover the last 3 years, the check / address history must cover the last 3 years, the check / address history must cover the last 3 years, the check / address history must cover the last 3 years, the check / address history must cover the last 3 years, the check / address history must cover the last 3 years, the check / address history must cover the last 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 summany of the candidate thas resided, was employed, attended school or lived more than 6 months over the last 5 years (required address history). Pre-UBS start Output Database check to Identify any external directorships and assess candidate integrity based on external directorships 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	Statutory	Not applicable for Mexico				
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 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 (e.g. if the frequency of periodic vetting is 3 years, the check / 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 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 last 5 years (required address of the summary of unpaid public records with liability b. Sum of current negative accounts (under collection) with past due amounts (c. Sum of accounts charged off as bad debt. Pre-UBS start the purisdictions / countries where the candidate has resided, was employed, attended school or lived more than 6 months over the last 5 years (required address have a counts (under collection) with past due amounts (c. Sum of accounts charged off as bad debt. Pre-UBS start the purisdictions / countries where the candidate has resided, was engloyed, attended school or lived more than 6 months over the last 5 years (required address has the periodic vetting (e.g. the periodic vetting (e.g. the periodic vetting (e.g. the periodic vetting (e.g. the peri	Criminal Record Check	Not applicable for Mexico				
External Directorship (Database Search) Public database No hits, no discrepancies between self-declaration and database search Pre-UBS start employed, attended school or lived more than 6 months over the last 5 years (required address)		http://www.burodecredito.com.mx/) Note: Failing to hire an individual for credit reasons may be considered	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 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	USD: a. Sum of unsatisfied or unpaid public records with liability b. Sum of current negative accounts (under collection) with past due amounts	Pre-UBS start date	
history) Page 1 of 2 ESSENTIAL FOOTNOTES:	(Database Search)	Public database	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	

Vetting Specification for External Staff MEXICO

Valid as of 01 July 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			
Supplier Vetting Obligations	the UBS Vetting Decision Authority at the time you were awarded the label of beir Any deviations to the country specs or agreed approach may result in a finding at A reminder that any decisions made by you should not expose UBS to any reputat In case a Level 1 supplier does not have the capability to legally perform a particul vetting Decision Authority (DA) to perform an alternative. In such cases (post appr declaration needs to be completed and dated prior to the start date at UBS and m of a check not being completed if this has been approved prior to onboarding by In case a candidate does not have the required documents / registration for a chec self-declaration shall only be obtained where a check is legally permissible in the "check. The self-declaration must be completed and dated prior to the start date at The country specifications define the acceptable documentation and/or data source.	the time of the level 1 audit e.g., the use of an unapproved vetting vendor. ional or operational risk. ar check (as defined in the country specifications), the supplier should obtain approval from the UBS oval from the DA) the Level 1 supplier may obtain a self-declaration form from the candidate. The Self ust be available for review at the time of the level 1 audit. A self-declaration only fulfills the condition the UBS vetting Decision Authority (DA). ck to be performed, the supplier must obtain a self-declaration from the candidate. However, such a hiring" location but cannot be conducted due to candidate not fulfilling the required conditions for a UBS and must be available for review at the time of the level 1 supplier audit. the for use within a candidate's country of hire. candidate has background history or footprint within additional countries outside the "hiring" intry must be considered.					