

Self-Declaration Form

A. Do you have any family relations who work at UBS?

Family relationship: the relationship with the following persons is counted as "family relationship"; marriage partner, companion in life, registered partner, parent, sister, brother, child (including stepchild) and in-laws of the same degree (e.g. father-in-law, brother-in-law).

Yes/No:

If Yes, please provide Name, GPN and nature of relationship of the person who work at UBS

Details:

B. Do you hold any External Directorship Positions?

External Positions include:

- 1) Any position in any Organization which is not part of the UBS Group (including a not-for-profit Organization) as a:
 - director, manager, officer, general partner, managing member, member of a committee with management or supervisory functions, company secretary, trustee, including member of a board of trustees, member of foundation board;
 - member of a committee representing the interests of any third party or parties with a relationship with the Organization in question (e.g. a creditors' committee);
 - advisor, or member of an advisory committee, if the advice given will or may influence the board or other senior management or supervisory body of the Organization in question;
- 2) Any position in any governmental or other executive, legislative, judicial or public body or political party.

Note: Please refer to page 2 for further information

Yes/No:

Details:

C. Global Background Check Consent

COSIMA (Compliance Structured Intelligence Management) and GTS (Global Tracking System) are Global Background Checks and are mandatory parts of vetting at UBS.

UBS will be checking your name against the COSIMA and GTS Database. Please sign below to confirm that you give your consent to UBS to check your name against the COSIMA and GTS Database and to holding the results on UBS HR files.

D. Do you have any personal relationship with manager reporting line?

Yes/No:

Details:

Name of the Staff:

Employee id:

Date:

Signature:

Some External Positions do not require disclosure, for example:

- *an Organization connected with the UBS Person's private residence;*
- *a charitable organization;*
- *an educational institution unrelated to financial services business;*
- *other Organizations connected with the UBS Person's sporting, cultural, educational, religious, social or recreational pursuits and unrelated to financial services business;*
- *a trade association, other than as chairman or a director;*
- *a trust which is for the benefit of members of the UBS Person's family and which is not a client of UBS*

However, such External Positions do require disclosure if:

- *the role is paid;*
- *the role is at a national or international level (e.g. member of the national governing body of a charity);*
- *UBS has a substantial credit exposure to the Organization;*
- *the external position is connected to a client or proposed client;*
- *the External Position carries investment responsibilities on behalf of the Organization;*
- *the UBS person is aware or should be aware that acceptance of the External Position would give rise to a conflict of interest or expose UBS to reputational, litigation or compliance risk*