

Personal Disclosure Form for Temporary Workers/Contractors

Strictly confidential

To be completed by all candidates

Position Applied For _____
Full Legal Name _____
Contact Details _____
Mobile: _____ Home: _____
Email Address: _____
Supplier/Employer: _____

Being aware that this questionnaire aim is to enable UBS and its Temporary Workers/Contractors to avoid the appearance of impropriety as well as to identify and avoid Temporary Workers/Contractor related conflicts of interest, corruption and any other irregularities, I hereby confirm that all details relating to the below aspects disclosed by me during the recruitment process are being shared by me voluntarily in order to effectively mitigate the risk of conflict of interest or any other potential legal risks between this my personal sphere and my role in UBS. As I am aware such a conflict would expose me to the criminal and civil liability arising under unfair competition acts, described in the Combating Unfair Competition Act as of April 16, 1993 as well as under the Criminal Code as of June 6, 1997. I am also aware that this data can be amended and/or removed by me at any point in future.

I have been duly informed that during my employment with UBS, I should not perform any roles which create/may potentially create a direct business conflict of interest against my role held at UBS. Therefore I shall reveal the intention of involvement in such roles in advance and ask for an appropriate analysis to be conducted by UBS.

1. To the best of your knowledge, do you hold any position with any company (entity, enterprise or other similar organization) that is a client of, prospect client of, supplier to or provider of services to UBS (other than your supplier)?

☐ Yes ☐ No

If yes: What is the nature of position?

☐ Client ☐ Supplier ☐ Contractor ☐ Other:

If you answered Yes, you may be contacted separately for additional information

2. To the best of your knowledge, do you have any family or personal relationships¹ with UBS clients, suppliers, prospect clients, or other third parties relevant to UBS business?

☐ Yes ☐ No

If yes: What is the category of relationship?

☐ Client ☐ Supplier ☐ Other

If "other" please describe:

If you answered Yes, you may be contacted separately for additional information



3. Are you a Public Official², or do you have any family or personal relationships with any Public Officials?

☐ Yes ☐ No

If yes: What is type of Public Official status?

Employee of government owned company
Government official
Employee of government agency/department
Regulator
Other

Please list UBS Employee Name:

Please describe "Other":

If you answered Yes, you may be contacted separately for additional information

4. Have you previously been a UBS employee?

☐ Yes ☐ No

If yes: Please provide your GPN, if known _____

Please provide the name of your UBS line manager at the time you left UBS _____

5. Have you been referred to UBS (other than from your supplier)?

☐ Yes ☐ No

If yes: Who is your referrer?

☐ Client ☐ Supplier ☐ Public Official² ☐ UBS Employee ☐ Other

Please list UBS Employee Name:

Please describe "Other":

If you answered Yes, you may be contacted separately for additional information

Notes:

¹ A family relationship is a relationship between family members, and includes, without limitation, a relationship with a spouse, domestic partner or civil partner (or similar as recognized by law), parent (or parent in-law), step-parent, sibling (or sibling in-law), step-sibling, child, step-child, grandparent, uncle, aunt, nephew, or niece.

A personal relationship is a relationship that is primarily personal in nature and not primarily professional or business-related, and includes, without limitation, a romantic relationship, close friendship, or other close, primarily non-professional relationship.

² UBS construes the term "Public Official" broadly. The term can refer to any elected or appointed official, officer or employee at any level of, or other person acting in an official capacity for any Local, regional, or national government; any Supranational Body that has the authority to make and the power to enforce laws including the EU, Agency, department or instrumentality of a government; Entity owned or controlled by any of the foregoing, this includes central banks, sovereign wealth funds, and any business venture that is owned or controlled by a government entity; Political party; Public International organization (e.g., the United Nations or World Bank); Judicial official; Candidates for public office, political party officials and members of a royal family. Individuals who are appointed officials, officers or employees at any level of, or other person acting (in each case) in an official capacity for any body which exercises any regulatory oversight or investigative or disciplinary authority over UBS. If you have any questions, please contact your UBS HR representative for further discussion.

³ See definition above.

Print name

Date

Signature