

# UBS EXTERNAL STAFF PRIVACY NOTICE

## DATA PROTECTION UNDER CANADIAN PRIVACY LAWS

To run our business, UBS processes information about individuals (“**Personal Information**”), including information about the employees and contractors of our suppliers (“**you**” or “**External Staff**”).

UBS takes your privacy seriously. This Privacy Notice (“**Notice**”) contains information on what Personal Information the UBS entities in Canada referred to in Section 10 (“**UBS**”, “**we**”, “**our**”, or “**us**”) and other companies of the group to which we belong (the “**UBS Group**”) collect(s), what we do with that information, and what rights you have.

As part of our commitment to protect your Personal Information we want to inform you in a transparent manner:

- why and how UBS collects, uses and stores your Personal Information;
- the lawful basis for the use of your Personal Information; and
- what your rights are in relation to such processing and how you can exercise them.

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### 1 What does this Notice cover?

This Notice applies to any and all forms of collection, usage and disclosure of Personal Information (“**processing**”) by UBS in relation to our External Staff in Canada. UBS only processes data related to your work, and always processes data for a specific purpose and within the applicable legal framework. In this regard, your role and function determine the context of the data processing by UBS.

### 2 What type of Personal Information do we collect?

We collect basic identification information, such as your name, title, position, professional history, experience, language skills and contact details. Such information will be collected if provided to us by your employer, for instance on a CV you have prepared, even if you do not ultimately work on an assignment for UBS.

In addition, for External Staff working on UBS premises, we usually collect (to the extent permitted by applicable law):

- Detailed identification information (e.g., address, office location, business telephone number, date and place of birth, picture, emergency contact details, ID card, passport details and other national ID numbers as required);
- Detailed professional information (e.g., academic, professional and industry qualifications and certifications (including dates), directorship information, contact details of references, previous employment dates, rank or seniority, line manager contact information, working arrangements (such as full or part time), assignment allocation and absence information);

- Electronic identification data (e.g., login information, access right, badge number, IP address, online identifiers/cookies, logs and connection time, sound or image recording such as CCTV or voice recordings);
- Personal and physical characteristics (e.g., gender, date of birth and immigration status, and physical characteristics); and
- Information submitted in support of an application to work for UBS on behalf of your employer (e.g., anything you choose to submit in support of your or your employer's application).

In some cases, the Personal Information we collect from you is needed to meet our legal or regulatory obligations, to perform our obligations under UBS's contract with your employer (UBS's supplier), or to enter into that contract. If so, we will indicate to you that the provision of this information is mandatory, and the consequences if we cannot collect this information.

The above-mentioned Personal Information are collected from information that you or your employer directly provide and, in some cases, UBS will also collect Personal Information indirectly from background check providers and other administration services providers, or from publicly available sources such as LinkedIn profiles.

### **3 On which legal basis and for which purposes do we process Personal Information?**

#### **3.1 Purposes of Processing**

We always process your Personal Information for a specific purpose and only process the Personal Information which is relevant to achieve that purpose. We thereby take into account the role in which you are active with UBS.

In particular, we process Personal Information of our External Staff to:

- a) Selection:
  - to determine the suitability of External Staff qualifications;
  - to prepare for and enter into a contract with our supplier.
- b) Onboarding:
  - to set up internal profiles, collect information required to complete the onboarding process. For background checks please see section e) below;
  - to assist us in managing external providers such as your employer (see section 5 for further information about when we work with service providers).
- c) Staff Administration:
  - to administer, plan and manage our personnel, suppliers and contractors (including task management and internal workforce analysis and planning);
  - to allocate costs, optimize performance and enhance quality;
  - to where relevant, manage and make available Personal Information within the UBS Group;
  - to carry out supplier performance reviews, satisfaction surveys and other contractor surveys;
  - to track staff interaction with internal email communication (including newsletters, interest groups and messages) to enable delivery of more relevant personalized content for improved readership and engagement.
- d) Training, development and other staff offerings:
  - to train our External Staff;
  - to carry out development initiatives and coaching activities;
  - to inform you of internal events, leisure activities, and corporate sponsored discounts through approved third-party providers.

- e) Compliance & Risk Management and / or Crime Prevention, Detection & Investigation:
- to checking for any existing or potential conflicts of interest or any other restrictions which may otherwise restrict or prevent a prospective engagement on a matter with UBS;
  - to carry out periodic vetting checks where relevant;
  - to receive and handle complaints, requests or reports from employees or third parties made to a compliance function, HR function, or other designated units within UBS or the UBS Group;
  - to track relevant incidents related to our External Staff and / or persons they might have a connection with, in order to comply with legal or regulatory obligations, internal policies or for risk management purposes;
  - to monitor and investigate electronic communications in order to be able to comply with legal or regulatory obligations, including compliance with banking regulations and internal policies or for risk management purposes;
  - to track and record data accesses, to evaluate them and to scan data carriers as well as to evaluate the accessing or storage of data with the objective of ascertaining whether there has been a breach of the obligation to be task-related;
  - to conduct internal investigations in line with UBS policies and/or as required by applicable legislation;
  - to reply to any actual or potential proceedings, requests or the inquiries of a public or judicial authority.
- f) Supporting, Enhancing and Maintaining UBS's technology:
- to provide for a centralized, global approach to the provision of IT services to our External Staff and enable External Staff within the UBS group to interact with one another and UBS employees. This normally involves the hosting of your contact and e-mail information to allow UBS's global IT network to be established and populated with relevant details;
  - to manage our IT resources, including infrastructure management and business continuity.
- g) Other purposes:
- to exercise our duties and/or rights vis-à-vis you or third parties;
  - to enable a transfer, merger or disposal to a potential buyer, transferee, merger partner or seller and their advisers in connection with an actual or potential transfer, merger or disposal of part or all of UBS's business or assets, or any associated rights or interests, or to acquire a business or enter into a merger with it;
  - to offer our products and services to our customers (e.g., we may communicate professional contact details of one of our External Staff to a customer or supplier, indicating that this person is the contact person within the UBS organization);
  - to collect data to ensure the security of buildings as well as property and information located or stored on the premises, to prevent, and if necessary investigate unauthorized physical access to secure premises (e.g., maintaining building access logs and CCTV system images).

### **3.2 Basis for the processing of Personal Information**

UBS processes your Personal Information within the applicable legal framework. Where required and depending on the purpose of the processing activity (see Section 3.1), the processing of your Personal Information will be on the basis of consent. Your consent is required for the collection, use or disclosure of personal information and will be obtained at or before the time the information is collected from you.

Consent may be express or implied. In some cases, the consent you provide will be express and require from you a positive indication that you agree (e.g., a signature, or checking a box). We collect express consent where the information we are collecting is sensitive personal information.

In other cases, we are permitted to rely on your implied consent. We are allowed to assume from your behaviour that you are consenting to the reasonable use of your personal information.

Consent may also be given through an authorized representative, such as a legal guardian or person having full power of attorney for someone who is a minor, is seriously ill or is mentally incapacitated. Your consent is required for the collection, use or disclosure of personal information and will be obtained at or before the time the information is collected from you.

In some cases, privacy laws permit us to process your Personal Information without your consent. For instance, where we use your information for the purpose of establishing, managing or terminating an employment or External Staff relationship, or managing a post- External Staff relationship, and it is reasonable to collect the information for the particular purpose for which it is being collected, we need only provide you reasonable notice about its collection and use.

In most cases, you would have provided your consent to your Employer to provide your Personal Information to us or your Employer did not require your consent to provide your Personal Information to us.

Where the Personal Information we collect from you is needed to meet our legal or regulatory obligations or enter into an agreement with you, if we cannot collect this Personal Information there is a possibility, we may be unable to on-board you as External Staff (in which case we will inform you accordingly).

#### **4 How do we protect Personal Information?**

All UBS employees accessing Personal Information must comply with the internal rules and processes in relation to the processing of your Personal Information to protect them and ensure their confidentiality.

UBS and the UBS Group have also implemented adequate technical and organizational measures to protect your Personal Information against unauthorized, accidental or unlawful destruction, loss, alteration, misuse, disclosure or access and against all other unlawful forms of processing.

#### **5 Who has access to Personal Information and with whom are they disclosed?**

##### **5.1 Within the UBS Group**

We make available Personal Information to members of our personnel and within the UBS Group for the purposes indicated in section 3.1. Other companies of the UBS Group may process your Personal Information on behalf and upon request of UBS.

We may also disclose and/or process Personal Information on behalf of UBS Group companies including:

- UBS Business Solutions US LLC
- UBS Asset Management (Americas) Inc.
- UBS Asset Management (Canada) Inc.
- UBS O'Connor LLC
- UBS Financial Services Inc.
- UBS Securities LLC
- UBS Securities Canada Inc.

##### **5.2 Outside UBS and the UBS Group**

###### **5.2.1 Third Parties**

We disclose Personal Information with other credit and financial services institutions and comparable institutions (including brokers, exchanges, upstream withholding agents; swap or trade repositories, stock exchanges, central securities depositories), our professional advisers and consultants (e.g., lawyers, tax accountants or labour consultants) or clients (as part of you working on tasks related to or involving those parties), where such disclosure is necessary for the performance of a mandate or the execution of a contract for services.

### **5.2.2 Service Providers**

In some instances, we also disclose Personal Information with our suppliers, who are contractually bound to confidentiality, such as IT system or hosting providers, payroll providers, cloud service providers, database providers, training, education and development providers and third parties who carry out vetting checks, and other goods and services providers (such as communication service providers). When we do so we take steps to ensure they meet our data security standards, so that your Personal Information remains secure.

Service providers are thereby mandated to comply with a list of technical and organisational security measures, irrespective of their location, including measures relating to: (i) information security management; (ii) information security risk assessment and (iii) information security measures (e.g., physical controls; logical access controls; malware and hacking protection; data encryption measures; backup and recovery management measures).

### **5.2.3 Public or regulatory authorities**

If required from time to time, we disclose Personal Information to public authorities, regulators or governmental bodies, courts or party to proceedings where we are required to disclose information by applicable law or regulation, under a code of practice or conduct, at their request, or to safeguard our legitimate interests.

### **5.2.4 Other**

- A potential buyer, transferee, merger partner or seller and their advisers in connection with an actual or potential transfer or merger of part or all of UBS's business or assets, or any associated rights or interests, or to acquire a business or enter into a merger with it;
- Any legitimate recipient required by applicable laws or regulations.

### **5.3 Data Transfer to other Countries**

The Personal Information transferred within or outside UBS and the UBS Group as set out in sections 5.1 and 5.2, is in some cases also processed in other countries. We only transfer your Personal Information abroad to countries which are considered to provide an adequate level of data protection, or in the absence of such legislation that maintain adequate protection, based on appropriate safeguards (e.g., standard contractual clauses adopted by the European Commission or another statutory exemption) provided by local applicable law.

You may request additional information in this respect and obtain a copy of the relevant safeguards by contacting the Data Protection Office at: [dpo-canada@ubs.com](mailto:dpo-canada@ubs.com).

A list of the countries in which UBS and the UBS Group operate can be found at <https://www.ubs.com/global/en/our-firm/locations.html>.

### **5.4 Data transfers outside of Quebec**

We may transfer Personal Information within Quebec to outside agents, service providers (including affiliates of UBS acting in this capacity) and other UBS offices outside of Quebec. Some of these service providers or other UBS offices may be located outside of Canada, including the United States, Switzerland, the United Kingdom and Luxemburg. These entities may also be in Canada, but in different provinces than the information was originally collected in. We will take reasonable contractual or other measures to protect Personal Information while being processed or handled in other jurisdictions. In transferring the information, UBS will assess the sensitivity of the information; the purpose for which it will be used; the protection measures applied to it; and the legal framework applicable in the destination area. This transfer will be subject to a written agreement.

## **6 How long do we store your data?**

We will only retain Personal Information for as long as necessary to fulfil the purpose for which it was collected or to comply with legal, regulatory or internal policy requirement. In general, your Personal Information will be kept for 10 years, beginning on the day that you leave UBS, as is needed for anticipated or actual business and legal needs. There may be exceptions to this general rule, for example:

- a) Personal Information that is no longer required or has become obsolete may be destroyed while the External Staff relationship is still ongoing for proportionality reasons;

- b) In certain cases, UBS may store and process Personal Information for a longer period than 10 years, in particular for compliance or risk management purposes, to comply with (other) legal and regulatory requirements, or if it is in UBS' legitimate interest.

However, if you wish to have your Personal Information removed from our databases, you can make a request as described in section 7 below, which we will review as set out therein.

## **7 What are your Rights and How can you Exercise them?**

### **7.1 Your Rights**

You have a right to access and to obtain information regarding your Personal Information that we process. If you believe that any information we hold about you is incorrect or incomplete, you may also request the correction of your Personal Information. If you are unable to do this or are otherwise concerned that the information recorded about you is inaccurate, please contact us using the details below.

You also have the right to:

- object to the processing of your Personal Information;
- submit a privacy complaint;
- request the erasure of your Personal Information
- request information regarding the existence, use and disclosure of your Personal Information;
- challenge the accuracy and completeness of your Personal Information and have it amended as appropriate;
- withdraw your consent where UBS obtained your express consent to process Personal Information (without this withdrawal affecting the lawfulness of any processing that took place prior to the withdrawal).

Only applicable to Quebec residents:

- **Be Forgotten:** An applicant from Quebec has the right to request for their information to be restricted from dissemination. UBS does disseminate employee information to outside service providers, but only where required to serve the employee. Due to the necessity of the dissemination of employee information to these third parties, if an applicant requests to have their information restricted from dissemination, in some cases, there may remain information that will not be able to be disseminated in order for UBS to be able to process employee information for the employment relationship.
- **Receive a Copy of Personal Data:** An applicant from Quebec has the right to request to receive a copy of their Personal Information.

UBS will honour such withdrawal requests or objections as required under applicable data protection rules, but these rights are not absolute: they do not always apply, and exemptions may be engaged. We will usually, in response to a request, ask you to verify your identity and/or provide information that helps us to understand your request better. If we are unable to comply with your request, we will explain why.

In certain circumstances UBS may process your Personal Information through automated decision-making. Where this takes place, you will be informed of such automated decision-making that uses your Personal Information and be given information on criteria and procedures applied. You can request an explanation about automated decision making carried out and that a natural person reviews the related decision where such a decision is exclusively based on such processing.

### **7.2 Exercising your rights**

To exercise the above rights, please send an email to [sh-hr-data-requests-snow@ubs.com](mailto:sh-hr-data-requests-snow@ubs.com).

If you are not satisfied with how UBS processes your Personal Information, please let us know and we will investigate your concern. Please raise any concerns by contacting the Data Protection Office at: [dpo-canada@ubs.com](mailto:dpo-canada@ubs.com).

If you are not satisfied with UBS's response, you have the right to make a complaint to the Office of the Privacy Commissioner. The contact details of the Office of the Privacy Commissioner can be found at the following website: <https://www.priv.gc.ca/>.

## 8 Changes to Personal Information

In the interest of keeping Personal Information properly up to date and accurate, we will ask you periodically to review and confirm the Personal Information we hold about you and/or to inform us of any change in relation to your Personal Information (such as a change of address).

## 9 Updates to this Notice

This Notice was updated in October 2023. We reserve the right to amend it from time to time. Any amendment or update to this Notice we will make available to you [here](#). Please visit the UBS website frequently to understand the current Notice, as the terms of this Notice are closely related to you.

## 10 List of contracting UBS entities covered by this Notice

Entity Name	Registered Address
UBS Bank (Canada)	154 University Avenue, Suite 8000, Toronto, ONT M5H 3Z4
UBS Securities Canada Inc.	Brookfield Place, 161 Bay Street, Suite 4000, Toronto, ONT M5J 2S1
UBS Asset Management (Canada) Inc.	Brookfield Place, 161 Bay Street, Suite 4000, Toronto, ONT M5J 2S1

If you have any questions or comments about this Notice, please contact the Data Protection Office at the following email address: [dpo-canada@ubs.com](mailto:dpo-canada@ubs.com). For additional information please visit [goto/groupdpo](#).