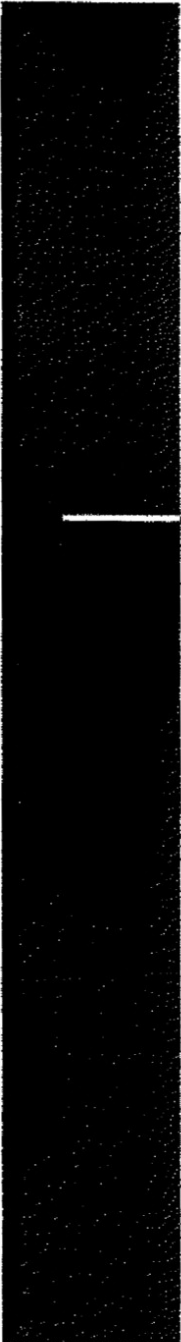


Security Risk Governance

Marketing WMI
June 7, 2006



Travels abroad

Objective

**Make UBS employees aware
of possible threats during
business travels**

Preparation of a business trip

Information pick up

- ◆ What threats (criminality, political situation, nature catastrophes,...) I have to count with in my target country?
 - Security Risk Control / Travel Risk Advisor:
<http://bw.ubs.com/page/0/25/0,1080,1625-45266-0-0,00.shtml> (check Country Risk Forecast/CityBrief of your destination; see link to US State Department; UK FCO, Swiss EDA and Travel Tips)
 - Contact local Rep.Office to get an update

- ◆ Taking along?
 - No client names or any other client data in electronic or paper form
 - Travel laptop (so called "TAS") is the most secure electronic equipment to carry information. TAS can be ordered via [REDACTED]; detailed instruction by IT specialist is given to first time users).
 - Blackberries are unsafe for the time-being and are not recommended
 - Client data may not be stored on Palms and Mobile Phones
 - Don't use private mail accounts for business purposes

Business trip

At customs/immigration

- ◆ Filling out immigration documents (entry card)
 - Always make a cross at "business" and add "business meeting", **except** in Venezuela, there you make a cross at "tourist" (if in doubt check with the travel agency)

- ◆ How to behave if you are questioned?
 - Keep cool, be polite and cooperative!
 - Travelling purpose: Business trip due to meetings; have the name of the Rep.Office head in mind and inform the Rep.Office that you are coming
 - Lead the focus on organising a UBS event (e.g. Golf trophy)
 - Refuse to tell any further names due to data protection / confidentiality reasons. This works in most of the countries.

- ◆ How to behave if you are forced to show the content of your notebook?
 - No problem, if you don't have client / prospect data on it.
 - If you have sensitive data with you, type three times a wrong PIN and access will be blocked (works with all UBS notebooks!)

Business trip

At customs and during stay in country

- ◆ What if you are put under pressure?
 - Call the 24/7 hotline number of Security Risk Control (+41 44 234 99 06)
 - Contact the Swiss Embassy in emergency case (may also be used by non Swiss employees).
 - UBS has a contract with a specialized company for world wide emergency response (activation via Security Risk Control)
 - If necessary UBS will arrange for a lawyer

Business trip

Stay in country

- ◆ Don't use always the same hotel that most of bank employees use (e.g. Hilton in Tel Aviv)
- ◆ Try to be as unpredictable as possible (change your restaurants, the taxi companies, the meeting points with clients,...)
- ◆ Once arrived it is no problem to have sensitive data in the notebook, but don't forget to delete them before crossing again the border.

Business trip

Some useful advices

- ◆ If you need sensitive data abroad, send them to your mail account encrypted. The mail will stay in Switzerland and after the arrival you can download them to your notebook in the Rep. Office (only for Remax users and in connection with TAS).
- ◆ Use the special USB Memory stick (can be ordered via MyShop). It is encrypted and gives you more security than a notebook or other PDAs.
- ◆ If travelling with a colleague, coordinate your story telling before the customs. Keep it simple and as near as possible to the truth.

Business trip

At the end...

- Delete any sensitive data before you leave
- Do not carry along client related documents
- Laptop and other electronic equipment must be in the carry-on baggage
- Have a story if questioned by authorities when leaving the country
- If any incident during your travel inform line management and Security Risk Control

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