



EHP Release Notes

Version 1.10

6 August 2021

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1 General information

Reference:

FINMA's survey and application platform (EHP) is updated on a regular basis. Any major changes and corrections are bundled together in the form of releases. Between three and four releases of this kind are installed every year. The following points highlight the changes associated with the latest release.

2 Improvements

2.1 General improvements

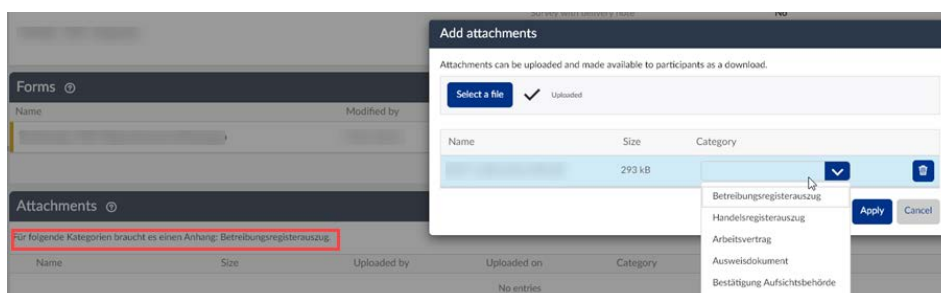
2.1.1 Automatic language selection for forms

The language selected in the EHP will now be adopted in the forms solution (Orbeon) and not set to German by default for every login as in the past.

2.1.2 Changes when uploading attachments

In the past, financial institutions were able to include attachments for all applications, reports and surveys. Now, FINMA can define when creating the template whether attachments are allowed and, if so, whether the appropriate document category (e.g. articles of association) can be selected when uploading the documents to the EHP. Document categories can also now be defined as mandatory attachments. Without the mandatory attachments, no submission can be made to FINMA.

It will be displayed in the detailed view under attachments whether a mandatory attachment is necessary (see image below).



2.1.3 EHP form design

Both the Orbeon forms as well as the PDFs generated from these (see image below) will be transferred to a new, modern design, which meets

FINMA's CI/CD guidelines in the coming months. The forms will become simpler and easier to understand as a result.

Reference:

Formular Bewilligung für Vermögensverwalter/Trustee nach FINIG V2

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Bewilligung für Institute nach FINIG

Gesuch:
 betreffend die Bewilligung als Vermögensverwalter nach FINIG
 betreffend die Bewilligung als Trustee nach FINIG

Dieses Formular listet alle Angaben und Dokumente auf, welche für eine Gesuchseinreichung erforderlich sind, und wird elektronisch ausgefüllt. Weitere Angaben zur Gesuchseinreichung sind der [Internetseite der FINMA](#) zu entnehmen.

Wichtig:

- Es müssen zwingend alle Felder ausgefüllt werden, da diese Auswirkungen auf den weiteren Verlauf der Gesuchvorlage haben.
- Sofern nicht anderweitig angegeben, genügt eine einfache Kopie hinsichtlich der einzureichenden Dokumente.
- Seit dem 16. November 2020 ist die Eingabe ohne EHP-Lieferschein möglich.

Allgemeine Informationen / Kontaktdaten

Lässt sich der Gesuchsteller vertreten?
 Ja Nein

Kontaktdaten des Gesuchstellers:

| | |
|--------------------------|----------------------|
| Name | Vorname |
| <input type="text"/> | <input type="text"/> |
| Titel | Funktion |
| <input type="text"/> | <input type="text"/> |
| Telefonnummer Direktwahl | E-Mail |
| <input type="text"/> | <input type="text"/> |

Wird das Gesuch vollständig über die elektronische Plattform eingereicht?
 Ja Nein

Wurde die Meldung gemäss Art. 74 Abs. 2 oder 3 FINIG vorgenommen?
 Ja Nein

1. Angaben zum Gesuchsteller

Zutreffendes ankreuzen:
 Bestehendes Unternehmen
 Neugründung eines Unternehmens

Firma:

| | |
|--|----------------------|
| Strasse: | Postfach: |
| <input type="text" value="Bahnhofstrasse 60"/> | <input type="text"/> |

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2.1.4 Notifications: expand option displayed more clearly

In the application, report and survey details, the text in the notifications (right column) was cut off automatically after four lines in the past. It was often not clear to external persons that the truncated text can be displayed.

Now the three dots will be underlined and contained in brackets (...). A window with the whole text can be opened by clicking on these three dots.

2.1.5 Variable “licence” in notifications

Reference:

For notifications (automatically generated emails to the financial institutions), the licence can now be displayed. This takes account of the fact that institutions may have several licences and it is not always clear which licence the notification applies to (e.g. if the institution is licensed both as a bank and as a custodian bank). This is particularly relevant for indirect surveys.

2.2 Improvements in the “Surveys” area

2.2.1 For audit firms: better overview of the status of overall surveys

It is now recognisable when an overall survey has been completed. The new overview allows the audit firm to recognise at the level of the overall survey whether individual surveys are still open within the overall survey. If there are still individual surveys open, this is indicated by a red circle and a number. The number indicates the number of individual surveys not yet completed. An individual survey is deemed complete as soon as it has reached the final status (e.g. ‘submitted’ for surveys without a delivery note, or ‘stopped’). However, as soon as an individual survey is given the “undergoing correction” status by FINMA, the status changes to red again or the number increases by one if there are other individual surveys open within this overall survey.



| Survey ID | Institution | Survey Name | Date of Issue | Submission Date | Lead Auditor | Auditor | Responsibility | Status | Survey with Del. |
|-----------|-----------------|--------------------|---------------|-----------------|-----------------|-----------------|----------------|-----------|------------------|
| 12710 | Auditor (FINMA) | Annual Report 2019 | 15.05.2020 | 20.05.2020 | Master 100 Firm | Master 170 Firm | Grouping Work | Submitted | No |
| 12711 | Auditor (FINMA) | Annual Report 2019 | 15.05.2020 | 20.05.2020 | Master 100 Firm | Master 170 Firm | Grouping Work | Submitted | No |
| 12712 | Auditor (FINMA) | Annual Report 2019 | 15.05.2020 | 20.05.2020 | Master 100 Firm | Master 170 Firm | Grouping Work | Submitted | No |

2.2.2 For institutions under the ISA: replacing mandatory attachments for surveys based on charts of accounts

If an electronic mandatory attachment needs to be replaced following the publication of a survey based on a chart of accounts, the institution will now be informed of this in advance by email. This notification only takes place for surveys that have already been assigned by the authorisation coordinator (AC) to people in the role of accounting area manager (AAM), manager (MNG) or officer (OF).

Furthermore, a “new” symbol will be added to the replaced attachment in the list of all mandatory attachments:

Reference:

| Name | Signature required | Form template | Modified by | Modified on | Status |
|--|---|---------------|-------------|-------------|---------------|
| Berichte über jedes gebundene Vermögen |  | File | - | - | Not validated |

The replacement of the attachment is also shown in the notification bar:

Notifications 

Distribute tasks

08.07.2021 10:02 | Replacement attachment template
FINMA has replaced the attachment template

06.07.2021 11:22 | Replacement attachment template
 FINMA has replaced the attachment template



2.2.3 For institutions under the ISA: observance of predefined file names

If file names specified by FINMA for mandatory attachments are changed by the users at an institution, it will now no longer be possible to upload documents for surveys based on charts of accounts. The system displays a warning if predefined file names have been changed:

Add attachments

Attachments can be uploaded and made available to participants as a download.

Select a file

 G_G1_Gesamtuebersicht Gebundenes Vermoegen_1.xlsx 

The file name does not match the original name G_G1_Gesamtuebersicht Gebundenes Vermoegen.xlsx. Please adjust the file name and then upload the file again.

2.3 Improvements in the “Applications/reports” area

2.3.1 Naming of several deputies for each application/report

In the past, it was only possible to specify one deputy when submitting an application or a report. Now up to five can be named (per application/report).

2.3.2 For institutions under the CISA: various changes for SICAVs and LPs

Reference:

Up to now, applications concerning the institution part of a Swiss investment company with variable capital (SICAV) have had to be submitted with the EHP account of the SICAV and applications concerning the product part of the SICAV with the EHP account of the fund management company. Now, all applications and reports concerning Swiss SICAVs can be submitted with the EHP account of the SICAV. Swiss SICAVs thus no longer appear in the product selection for the fund management company.