

# Frequently asked questions about the delivery platform

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## **1 What is the FINMA delivery platform?**

The FINMA delivery platform is an information and communication technology system through which supervised institutions, audit firms and other external offices can submit documents to FINMA electronically in a secure web environment. The platform issues electronic confirmation of receipt for every message sent to FINMA.

## **2 Where is the delivery platform?**

The delivery platform is on the FINMA website [www.finma.ch](http://www.finma.ch) "FINMA" > "Extranet" > "[Delivery platform](#)" or at "Contact" > "Extranet".

## **3 What is the benefit of the delivery platform?**

The delivery platform preserves the confidentiality and integrity of electronic content, thus enabling the electronic transmission of documents relevant to administrative proceedings conducted by FINMA (e.g. for submitting a position in enforcement proceedings). The platform increases data processing efficiency as it is faster than delivery by normal post. Anyone can use the FINMA delivery platform to transfer documents electronically (with or without a qualified electronic signature, see answers to questions 5 and 6). Prior registration is not necessary.

## **4 How is the delivery platform different to the survey and application platform?**

The delivery platform enables the electronic transmission of any documents that are not supposed to be sent by FINMA via its survey and application platform (EHP). However, if electronic transmission is scheduled via the EHP (especially for survey and application forms completed in the EHP), users are requested to use the EHP as their input channel.

## **5 What is a qualified electronic signature?**

If one or more documents sent to FINMA require a signature (in enforcement proceedings for example), the document in question needs a qualified electronic signature when sent via the delivery platform.

The electronic signature is a technological means of verifying the authenticity of a document, electronic message or other electronic data. It is based on a certification infrastructure managed by reliable certification service providers. Only qualified electronic signatures with a qualified time stamp are recognised in Switzerland as being equivalent to a handwritten signature.<sup>1</sup> The Swiss Electronic Signature Act (ZertES; SR 943.03) defines a qualified electronic signature. Only natural persons are eligible to use the qualified electronic signature equivalent to a handwritten signature.

## **6 How is it possible to know whether a document has a qualified electronic signature?**

The qualified electronic signature is added to documents on a signature line or block. The validity of a qualified electronic signature can be checked via the Federal Administration's validation service (<http://www.validator.ch/>). The signature must have a valid certificate and time stamp at time of issue. FINMA recommends using the validator to check the validity of qualified electronic signatures on documents before sending them to FINMA.

## **7 What software is required to add a qualified electronic signature to a document?**

It is possible to generate the qualified electronic signature using Adobe Acrobat Reader or other software as well (e.g. the Open eGov Local Signer of the Confederation, the Skribble or QuoVadis Signing Service solution).

Please note that the qualified time stamp required for a valid qualified electronic signature can only be generated when the natural person giving their signature is online at the time the signature is provided (see answer to question 6).

## **8 Which file formats can be transmitted?**

The usual formats (DOC, DOCX, XLS, XLSX, PDF, PDF/A, CSV, PPT, PPTX, ZIP etc.) can be sent to FINMA via the delivery platform. However, some formats are not accepted for data protection reasons. Invalid file types will be rejected during the submission process. The user is asked to observe the following rules when using the platform:

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<sup>1</sup> Art. 14 para. 2<sup>bis</sup> Code of Obligations (OR; SR 220).

- Use file names that are as meaningful, brief and indicative of the content as possible;
- avoid using special characters in file names;
- do not encrypt the documents (the delivery platform includes automatic encryption);
- use machine-readable PDF files with OCR text recognition whenever possible;
- maximum size of the entire electronic transmission to FINMA: 9.76 GB (one document can be up to 2.15 GB).

## 9 What if a problem occurs?

In the event of a technical error during the web-based submission process, please contact FINMA email support at [digital@finma.ch](mailto:digital@finma.ch). Technical questions must be addressed to the competent person at FINMA and questions about the validity of the qualified electronic signature must be addressed to the signature provider.

The validity of the qualified electronic signatures is automatically checked for every submission via the FINMA delivery platform. The check is performed using the Federal Administration's validation service (<http://www.validator.ch/>) whereby a report is generated (see answer to question 6). If the report is negative and coloured red, FINMA will contact the sender and/or signatory if possible. However, that does not change the fact that the sender is responsible for the validity of the necessary qualified electronic signature(s) when making an electronic submission to FINMA.

There can be a number of reasons for a qualified electronic signature being invalid. The main ones are the following:

- The signatory uses the wrong certificate (e.g. authentication instead of qualified signature). The document needs to be signed electronically with the "Qualified Signature" certificate;
- the qualified electronic signature does not have a valid time stamp. In this case, the following notice will appear when you click on the qualified electronic signature (> "Unterschriftseigenschaften" (signature features) > "Gültigkeitszusammenfassung" (validity summary)): "Die Uhrzeit der Signatur stammt von der Uhr des Computers vom Signierer." (The time of the signature corresponds to the time on the signatory's computer). You need the time stamp (Time Stamp Authority [TSA]) configured in the signatory's software to rectify this error.

The following extract shows the features of a valid qualified electronic signature. The signature is valid and the qualified time stamp is incorporated:

