

Guidelines

FINMA delivery platform

Bern, 12 September 2016

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b1004961-0000565

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1 Introduction

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By establishing a delivery platform, the Swiss Financial Market Supervisory Authority FINMA has met the statutory requirement which specifies that it must be possible to provide information electronically to a federal agency in accordance with the Ordinance on Electronic Transmission for Administrative Proceedings (VeÜ-VwV; SR 172.021.2)¹. A delivery platform² is an information and communication technology system which guarantees the confidentiality and integrity of messages. However, the delivery platform can be used not only for communication between agencies, but also for everyday information exchange (e.g. the submission of audit reports, other supervisory information or confidential data). All information is encrypted. Once the information has been transmitted, the sender receives an official digital confirmation of receipt. The delivery platform has three components: front end, transport and internal processing.

The purpose of the delivery platform is to reduce delivery times and boost the efficiency of information exchange with supervised institutions. These guidelines describe how the platform works.

¹ <https://www.admin.ch/opc/de/classified-compilation/20100598/index.html>.

² <https://www.isb.admin.ch/isb/de/home/themen/sicherheit/fachinformationen/elektronische-zustellplattformen.html>.

2 Using the system

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The delivery platform is available on FINMA's website (www.finma.ch). Select "Contact" and "Electronic legal communication" to access the delivery platform.

Delivery platform homepage

Electronic submission

On this SSL-secured website, you can submit your entry to FINMA. Following validation, your entry will be transferred and sent to FINMA as an encrypted message without immediate storage. You can then save an electronically signed and time-tagged input acknowledgement message as a PDF file.

You have the following possibilities for making submissions:

- submission without SuisseID identification where it is possible to transfer digital documents with or without a qualified electronic signature;**
- submission with SuisseID identification: encrypted transfer of digital documents with a qualified electronic signature.**

Submission to: Swiss Financial Market Supervisory Authority FINMA
Laupenstrasse 27
CH-3003 Bern

I am / I am acting for:*

Reason for contacting FINMA *

Please select the type of submission:

Entry without SuisseID identification

Entry with SuisseID identification

[Continue](#)

(*)Mandatory entry

Legal basis

- [Ordinance on electronic communication for administrative procedures](#)
- [Code of Obligations \(Art. 14\)](#)
- [Federal Law on Certification Services for Electronic Signatures \(ZertES\)](#)

Links

- [finma.ch](#)
- [Contact FINMA](#)
- [SuisseID](#)
- [System availability](#)
- [Support](#)

You can choose one of two input options:

Input without SuisseID³ identification

This input option does not require the use of a SuisseID. The delivery platform's user interface guides you through the input process. Once you have entered your sender and contact information, you can leave a message for FINMA. You can then upload documents and files and send them to FINMA. Documents can also be signed with a qualified electronic signature. A signature must be appended if the document being transmitted to FINMA requires a signature. The rule of thumb is that documents which would have to be signed if sent by post must have a qualified electronic signature if submitted via the delivery platform (see "Qualified electronic signature" in the FAQs). The following points should be noted when uploading documents using single file upload or the drag-and-drop function:

- The maximum size of the upload is 1 GB.
- The maximum size of any single file is 100 MB.

You have an opportunity to check the information and documents before clicking on "send" to transmit the package to FINMA. The confirmation of receipt is available for download after transmission. FINMA recommends that you rename the receipt and save it to your desktop. The receipt is proof that you transmitted the package and provides a unique reference number. You can see a sample receipt in the appendix.

Input with SuisseID identification

This input method requires that you have a SuisseID for identification purposes. In the input process, you must firstly identify yourself by entering your SuisseID. Identifying information about you is then retrieved from the issuer of the SuisseID. Once this has been confirmed you are returned to the delivery platform. You can now go ahead with entering your input. The input screens which follow are the same as those for data entry without SuisseID identification. Once again, the following points should be noted when uploading documents using single file upload or the drag-and-drop function:

- The maximum size of the upload is 1 GB.
- The maximum size of any single file is 100 MB.

You have an opportunity to check the information and documents before clicking on "send" to transmit the package to FINMA. The confirmation of

³ SuisseID: Swiss standard for secure identification in electronic business processes and digital signature.

receipt is available for download after transmission. FINMA recommends that you rename the receipt and save it to your desktop. The receipt is proof that you transmitted the package and provides a unique reference number. Input using SuisseID identification is necessary if the proceedings require a unique, legally valid proof of identity.

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Important notes

Within the delivery platform you are prompted to enter information at various points. This information helps FINMA to understand the message and forward it to the correct address within FINMA. When entering information, please note the following requirements:

Subject/reference: The subject line provides important information about the contents and purpose of the message (like the subject line of an email). The more precise the subject line, the easier it is to classify and process the input. If you already have a case number, you should always include it.

Message: This should be understood as a cover letter. Here you can inform FINMA about the purpose of the delivery, reference relevant documents or communicate your concerns.

Entry without SuisseID identification

Concerns (50 characters max.)*

Message (2000 characters max.)*

B I U ABC Format

↶ ↷ ↻ ↺ ↻ ↺

[Back](#) [Continue](#)

(*)Mandatory entry

Legal basis

- ↳ [Ordinance on electronic communication for administrative procedures](#)
- ↳ [Code of Obligations \(Art. 14\)](#)
- ↳ [Federal Law on Certification Services for Electronic Signatures \(ZertES\)](#)

Links

- ↳ [finma.ch](#)
- ↳ [Contact FINMA](#)
- ↳ [SuisseID](#)
- ↳ [System availability](#)
- ↳ [Support](#)

Attaching files: Before sending your message, you can also upload documents (e.g. audit reports or applications for authorisation). The following requirements should be noted when using single file upload or the drag-and-drop function:

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- Use short, meaningful names which describe the contents of the files.
- Do not use special characters.
- Do not send password-protected files (all files are encrypted in any case).
- Use machine-readable PDF formats (OCR PDF) whenever possible.
- Use a ZIP file if you want to send FINMA a complete directory structure or if FINMA requires the original saving date and time of the files.
- Not all file formats are supported. Files using formats which are not supported will be rejected; the sender will be unable to upload them. The appendix contains a list of the approved file formats.

Once the package has been sent, the files are checked for viruses and malware. Infected files will not be delivered to FINMA. The system informs FINMA that infected files have been detected. This enables FINMA to inform the sender that some files have not been received. At the same time, the delivery platform is effectively protected against targeted attacks.

Maximum size limit is 1 GB. A single document / file should not be more than 100 MB

Select files
Add files to the upload queue and click the start button.

Filename	Status	Size
Drag files here.		

0% 0 kb


Links

- [finma.ch](#)
- [Contact FINMA](#)
- [SuisseID](#)
- [System availability](#)
- [Support](#)

The following data are ready for dispatch.

Current total size 0 MB

[Empty list area]

 Click on this symbol to remove the attachment.

3 Support

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If you have any questions or encounter problems when entering your input, please contact Support. The contact address for Support can be found in the right-hand navigation bar under Links → ***help.zustellplattform@finma.ch***.

Please provide the following information when submitting questions to Support:

- description of the error (provide a screenshot if possible);
- date and time of attempted transmission;
- receipt (if available);
- contact information (e.g. preferred contact method).

Support will then contact you as soon as possible to answer your question and/or fix the error(s). Support is available on weekdays from 08:00 to 17:00.

If you have any non-technical questions, please do not hesitate to contact ***digital@finma.ch***. We will try to answer your questions as soon as possible.

4 FAQs

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Question: What can FINMA's delivery platform be used for?

Answer: The delivery platform can be used for correspondence with FINMA. The platform is intended specifically for the secure and efficient transmission of data and documents. The delivery platform makes it possible to submit documents with a qualified electronic signature. Please be aware that documents with a qualified electronic signature will be only accepted when they are transmitted via delivery platform. The table below shows the ways in which information is currently exchanged with FINMA and the facilities provided by the delivery platform:

Example	Without the delivery platform	With the delivery platform
Sending audit reports to FINMA	Audit reports are signed by hand and sent to FINMA by post.	Audit reports can be sent with a qualified electronic signature via the delivery platform. The delivery process is quicker.
Delivery of confidential files	The files are copied to a CD or encrypted USB memory stick and sent to FINMA by post.	Files with a maximum size of 100 MB can be delivered securely to FINMA via the delivery platform. The files can be forwarded/processed immediately.
Application or request for changes in authorisation	Applications or requests for changes in authorisation are signed by hand and sent incl. all mandatory annexes to FINMA by post.	Applications or requests for changes in authorisation can be sent incl. all mandatory annexes with a qualified electronic signature via the delivery platform. The delivery process is quicker.

Question: How can the user tell if the delivery has been successful?

Answer: FINMA's delivery platform is officially recognised as a platform by the federal authorities. If it is possible to download and save the receipt, you can be assured that the transmission was successful. The package is then encrypted and forwarded to FINMA.

Question: When should you use the "Input with SuisseID identification" option?

Answer: If FINMA requires proof of identity in the context of proceedings, this can only be provided by selecting the "Input with SuisseID identification" option. In this case, the delivery platform checks whether the sender is in fact also the person providing the input.

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Question: What is a qualified electronic signature?

Answer: Many business documents are produced in hardcopy format because legally they require one or more signatures. A qualified electronic signature can be used to sign documents with the same legal validity. A signature of this kind is similar to a seal in so far as it guarantees both the integrity of the document (i.e. the contents of the document cannot be altered) and the identity of the sender. In Switzerland, only SuisseID meets this requirement. A signature using SuisseID therefore meets Switzerland's highest legal standard. It is regulated in the Federal Act on Certification Services relating to Electronic Signatures (ZertES) and is deemed to be equivalent to a handwritten signature under the Swiss Code of Obligations. See also "Qualified electronic signature" in the FAQs.

Question: What should I do if I experience an error?

Answer: FINMA provides a support function which helps and supports users. See Section 3 of this document for further details.

Question: Why are file formats rejected even though they are listed as approved? Or why does an HTTPS error occur?

Answer: It may be that internal technical standards prevent certain file formats from leaving your company's network. In particular, certain companies have an HTTPS Traffic Inspection in place which blocks the URL of the delivery platform. Contact your company's IT department and find out whether the delivery platform needs to be unlocked or put on a whitelist before it can be used.

5 Appendix

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List of approved file formats:

File type	Description
.doc	MS Word up to 2007
.docx	MS Word from 2007 onwards
.xls	MS Excel up to 2007
.xlsx	MS Excel from 2007 onwards
.ppt	MS PowerPoint up to 2007
.pptx	MS PowerPoint from 2007 onwards
.vsd	MS Visio up to 2013
.vsdx	MS Visio from 2013 onwards
.avi	Video format (includes XVID)
.mpg	Video format
.mp4	Video-/Audio format
.wav	Audio format
.mp3	Audio format
.wma	Audio format
.tif	Image format
.tiff	Image format
.png	Image format
.jpg	Image format
.jpeg	Image format
.gif	Image format
.zip	Compressed format
.rar	Compressed format
.pdf	Adobe PDF Format
.csv	Text (comma-separated values) file format
.rtf	Rich Text Format
.txt	Text, plain text file format
.msg	MS Outlook file

.xml	Extensible Markup Language
.db	Database format
.mdb	Database format
.rdl	Database format

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Sample of a receipt:

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Einfache Eingabe / Quittung Demande simple / Reçu Richiesta semplice / Ricevuta Communication / Receipt		Digitally signed by CHE-450.974.828 Bern - Switzerland, 2016-01-12 Reception confirmed
Empfänger Destinataire Destinatario Recipient	Eidgenössische Finanzmarktaufsicht FINMA Laupenstrasse 27 CH-3003 Bern	
Einheit / Kontaktperson Unité / Personne de contact Unità / Persona di contatto Unit / Person	eine Börse	
Grund der Eingabe [fr]Grund der Eingabe [it]Grund der Eingabe [en]Grund der Eingabe	Sonstiges	
Eingangsdatum / ID Data de réception / ID Data ricezione / ID Reception date / ID	2016-01-12 08:45:11 (YYYY-MM-DD, CE(S)T) 3eda4265-7703-4940-8103-b2c28f862a90	
Aktenzeichen / Betreff Référence / Concerne Riferimento / Oggetto Reference / Subject	--/-- Bewilligungsantrag Fondsleitung Bank Fantasia	
Mitteilung Message Comunicazione Communication	Sehr geehrte Damen und Herren In den Beilagen sende ich Ihnen den bzw. die Bewilligungsanträge für eine Zulassung als Fondsleitung. Bei Fragen bin ich jederzeit unter der E-Mail Adresse oder telefonisch erreichbar. Mit freundlichen Grüßen M.Mustermann	
Beilagen Annexes Allegati Attachments Hashes (SHA-256)	Zustellplattform_Pilotuser.pptx b84b36d7d12cbf7e08bb1ef735f29c754040b22c6ddca4f327353694ac0035e9 Protokoll KT Fach _01_10_2014.pdf e57b290ba0ef5f7abbb9cf3386584c51604387a4f6e79512148a80fa4baf2d58	
Identität des Senders Identité de l'expéditeur Identità del mittente Identity Sender	--/--	
Kontaktinformationen Coordonnées de l'expéditeur Dettagli di contatto Contact details	Bank Fantasia Herr Max Muster Beispielstrasse 22 3014 Bern T: 0313279185	
E-Mail / Zustellplattform Courriel / Plateforme de messagerie E-Mail / Piataforme di consegna E-Mail / Data exchange platform	max.mustermann@bank-fantasia.ch Kein Konto auf einer Zustellplattform	
Antwort Réponse Risposta Answer	Auf Papier per Post an die oben stehende Postadresse	
Code / Codice	208083	

Note: The code is the unique reference number of the receipt and can be used to trace the package.