

## Frequently asked questions (FAQs)

### Information

(last amended on 1 October 2009)

---

#### 1. What information can I obtain from FINMA?

FINMA is always willing to provide information on whether it has granted a particular company an authorisation<sup>1</sup> and what kind of authorisation it is. FINMA also provides information on bankruptcies<sup>2</sup> and liquidations<sup>3</sup>, the use of commissioned investigators<sup>4</sup> and on specific unauthorised institutions<sup>5</sup>. In cases involving a serious breach of supervisory regulations, FINMA is also permitted to publish its final rulings<sup>6</sup> in electronic and paper form once they have taken legal effect; this can include details of individuals.

However, FINMA does not provide any information on ongoing proceedings against supervised or unauthorised companies. Neither does it provide information on the financial situation of supervised companies. In principle, all companies authorised and supervised by FINMA fulfil the legal standards to which they are subject. Where this is no longer the case, FINMA intervenes with the necessary measures<sup>7</sup>.

If a complaint is raised with FINMA, the complainant has no rights as party and thus no right to access documents. The complainant cannot be kept informed of FINMA's dealings for the same reason.

FINMA is not an arbitration body nor can it dispense any legal advice.

FINMA will not entertain any information provided anonymously or semi-anonymously (e.g. only name and e-mail address).

#### 2. Who can I contact if I have further questions?

[questions@finma.ch](mailto:questions@finma.ch) or Phone +41 31 327 91 00

---

<sup>1</sup> [www.finma.ch/e/beaufsichtigte/pages/bewilligungstraeger.aspx](http://www.finma.ch/e/beaufsichtigte/pages/bewilligungstraeger.aspx)

<sup>2</sup> [www.finma.ch/e/sanktionen/insolvenz1/insolvenzen/pages/insolvenzen.aspx](http://www.finma.ch/e/sanktionen/insolvenz1/insolvenzen/pages/insolvenzen.aspx)

<sup>3</sup> [www.finma.ch/e/sanktionen/liquidationen/pages/default.aspx](http://www.finma.ch/e/sanktionen/liquidationen/pages/default.aspx)

<sup>4</sup> [www.finma.ch/e/sanktionen/vorsorgliche-massnahmen/pages/einsatz-untersuchungsbeauftragte.aspx](http://www.finma.ch/e/sanktionen/vorsorgliche-massnahmen/pages/einsatz-untersuchungsbeauftragte.aspx)

<sup>5</sup> [www.finma.ch/e/sanktionen/unbewilligte-institute/pages/default.aspx](http://www.finma.ch/e/sanktionen/unbewilligte-institute/pages/default.aspx)

<sup>6</sup> [www.finma.ch/e/sanktionen/verfuegungen-art34/pages/default.aspx](http://www.finma.ch/e/sanktionen/verfuegungen-art34/pages/default.aspx)

<sup>7</sup> [www.finma.ch/e/faq/privaten/pages/faq-vorgehen-bewilligte.aspx](http://www.finma.ch/e/faq/privaten/pages/faq-vorgehen-bewilligte.aspx)