

Integrity check as part of the FINMA recruitment process

Dear applicant

Integrity, credibility and sincerity are core values for FINMA and its employees in the fulfilment of their supervisory responsibilities, and particularly in their dealings with supervised institutions and individuals, audit firms and FINMA's other external partners.

For this reason, applicants undergo a so-called integrity check as part of the FINMA recruitment process. Of course, this will only be carried out with your prior consent. We have put together this information sheet to give you an idea of what this process involves.

For the integrity check, FINMA works together with the Swiss company Validato AG, which specialises in such checks. The verification process is designed in such a way that once you have entered your data it requires no further effort on your part to initiate the verification process.

We thank you for your interest in FINMA and wish you interesting discussions during the recruitment process.

Your HR team

Overview of the content of the integrity check

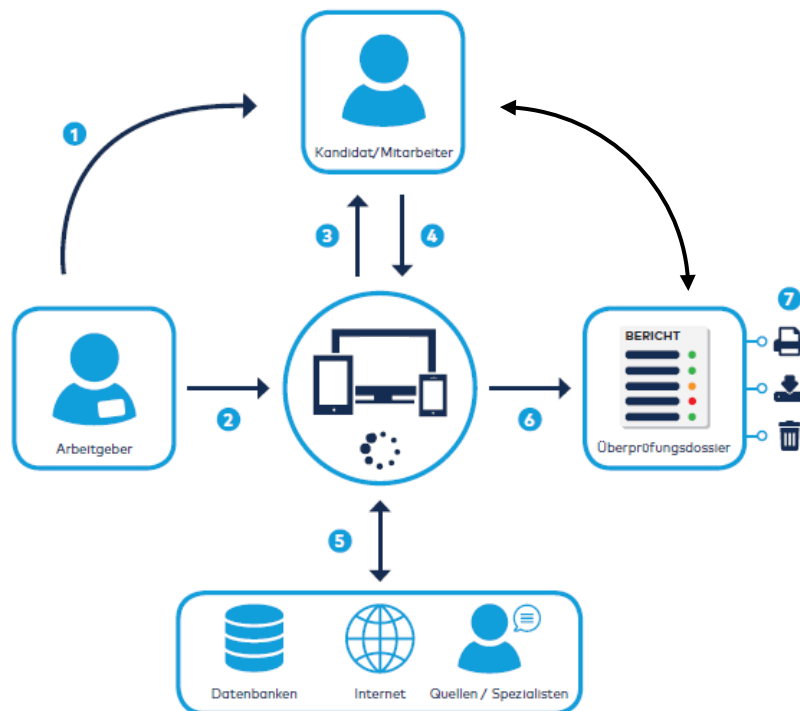
The integrity check takes place via an online platform provided by Validato AG. With your permission, FINMA Human Resources forwards your contact details and CV to Validato AG. Depending on the intended function at FINMA, the verification of correctness and completeness may include the following personal data:

- information provided in your CV, particularly personal details, education and work experience;
- details contained in your personal documents and concerning any work permits required;
- details of any previous convictions and financial integrity;
- and, if explicitly provided for, details of your public presence on the internet.

The integrity check relates only to your own details. The verification takes place solely on the basis of the information provided by you during the recruitment process.

Overview of the order of the integrity check

The order of the integrity check is as follows:



- 1) FINMA informs you about the integrity check during the course of the recruitment process and seeks your consent to this in advance.
- 2) FINMA Human Resources forwards your application documents and contact details to Validato AG.
- 3) Validato AG creates your personal login on the online platform and then contacts you.
- 4) You promptly complete the questionnaire on Validato AG's online platform with all of the required information, and release it for verification; experience has shown that Validato requires approx. 10 to 12 days for the integrity check from this point onwards, provided no foreign agencies are involved.
- 5) Subsequently, your information is checked for completeness and correctness.
- 6) Validato AG prepares a verification report on the integrity check together with any enclosures and provides this to FINMA Human Resources. Subsequently, FINMA Human Resources allows you

to view this. FINMA Human Resources also informs your potential future line manager about the verification report.

- 7) Validato AG deletes the verification report and your personal information after 90 days at the latest. Should you take up the position at FINMA, the verification report together with any enclosures will be added to your personnel file. If no employment contract is signed, FINMA – unless you instruct FINMA otherwise – deletes the verification report together with any enclosures twelve months after the position is filled at the latest. You will not be informed about the deletion of data.

Thank you for completing the questionnaire on Validato AG's online platform promptly and releasing it for verification. This enables us to ensure that the integrity check is carried out efficiently and swiftly.

Many thanks for your cooperation.

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