



# Questions and answers delivery platform

# Contents

<b>1</b>	<b>What is the FINMA delivery platform?</b>	<b>3</b>
<b>2</b>	<b>What is the benefit of the delivery platform?</b>	<b>3</b>
<b>3</b>	<b>Where is the delivery platform?</b>	<b>3</b>
<b>4</b>	<b>What is the difference between an entry with and without SuisseID identification?</b>	<b>3</b>
<b>5</b>	<b>What is a qualified electronic signature?</b>	<b>4</b>
<b>6</b>	<b>How is it possible to know whether a document has an electronic signature?</b>	<b>4</b>
<b>7</b>	<b>What software is required to have a document signed electronically?</b>	<b>5</b>
<b>8</b>	<b>How secure is the delivery platform?</b>	<b>5</b>
<b>9</b>	<b>Which file formats can be transmitted?</b>	<b>5</b>
<b>10</b>	<b>What if there is a technical error?</b>	<b>6</b>

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

The delivery platform allows institutions to submit documents to FINMA electronically in a secure web environment. The sender receives an electronic confirmation of receipt.

The FINMA delivery platform is an information and communication technology system that preserves the confidentiality and integrity of electronic content. It also meets the legal requirements of the Ordinance on Electronic Transmission for Administrative Proceedings (VeÜ-VwV; SR 172.021.2).

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

The delivery platform enables the transfer of electronic content to FINMA, for example audit reports, claims or confidential documents. The shortening of the delivery process (compared to physical delivery) increases the efficiency of information processing.

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

The delivery platform can be accessed via the FINMA website [www.finma.ch](http://www.finma.ch). The link to the delivery platform is under "Contact" (<https://www.finma.ch/en/kontakt/>).

## **4 What is the difference between an entry with and without SuisseID identification?**

An entry with SuisseID identification automatically takes over the sender data from your SuisseID account (name, address etc.).

An entry with SuisseID identification is only required when FINMA explicitly requests that the documents be submitted by a specific person or persons. An entry without SuisseID identification is therefore usually sufficient.

Eingabe ohne Identifikation mittels SuisseID: verschlüsselte Übermittlung von digitalen Dokumenten mit oder ohne qualifizierter elektronischer Signatur

Eingabe mit Identifikation mittels SuisseID: Verschlüsselte Übermittlung von digitalen Dokumenten mit qualifizierter elektronischer Signatur

Eingabe an: Eidgenössische Finanzmarktaufsicht FINMA  
Laupenstrasse 27  
CH-3003 Bern

Ich bin bzw. handle für:

Grund der Eingabe: \*

Bitte wählen Sie die Art der elektronischen Eingabe:

- Eingabe ohne Identifikation mittels SuisseID
- Eingabe mit Identifikation mittels SuisseID

Weiter

If the entry includes a document with an electronic signature, the document must be signed in advance by qualified electronic signature (QES).

## 5 What is a qualified electronic signature?

The electronic signature is a technological means of signing a document, electronic message or other electronic data. It is based on a certification infrastructure managed by selected certification service providers.

The qualified electronic signature (QES) is the only signature in Switzerland recognised as being equivalent to a handwritten signature. The QES is not generated solely by software, it also offers an additional layer of protection through two-factor authentication (soft- or hard-token). A QES is the only way of adding a qualified electronic signature to documents in Switzerland, i.e. a legally binding digital signature.

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

The qualified electronic signature is added to documents on a signature line or block. The validity of the signature can be checked with the Federation's online service ([www.e-service.admin.ch/validator](http://www.e-service.admin.ch/validator)). The signature must have a valid certificate and time stamp at time of issue. FINMA recommends reviewing the validity of the documents via the Validator prior to the first submission to FINMA. Contact the issuer if you have any questions about the qualified electronic signature.

## **7 What software is required to have a document signed electronically?**

In addition to the possibility of generating the electronic signature directly with Adobe Acrobat Reader, it is also available free of charge using Swiss Federation software: [www.e-service.admin.ch/wiki/display/openegovdoc/LocalSigner](http://www.e-service.admin.ch/wiki/display/openegovdoc/LocalSigner). The user instructions issued by the manufacturer must be observed to generate a legally valid signature.

The qualified electronic signature requires a valid time stamp and Validator approval to have full authenticity. A one-time configuration of the signature software ensures the validity of the time stamp. The signing party must also be online at time of signing, i.e. the time stamp must be synchronised with the Federal online service (see question 6).

## **8 How secure is the delivery platform?**

The data entry and transmission are encrypted. Only FINMA can decrypt the content. The FINMA delivery platform is recognised as an information and communication technology system by the federal government (see answer to question 1).

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

The usual formats (DOC, DOCX, XLS, XLSX, PDF, 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. Please note the following when sending documents:

- Meaningful, brief titles should be used which are related to the content;
- Avoid special characters;
- Do not send password-protected files, as they are already encrypted;
- Send machine readable PDFs if possible (OCR text recognition);
- Do not exceed the maximum size of the entire electronic submission which is 1 GB, while the maximum size for one file is 100 MB.

## **10 What if there is a technical error?**

In the event of a technical error during the web-based submission process, please contact email support at [digital@finma.ch](mailto:digital@finma.ch). Please address any technical questions to your assigned case administrator.