

Quick guide to the electronic submission of authorisation enquiries

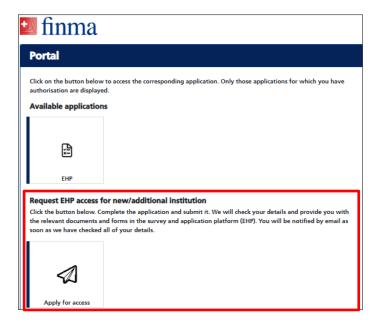
Authorisation enquiries in the FinTech sector must be submitted to FINMA via the survey and application platform (EHP). The following steps must be carried out for electronic submission:

1 EHP access

A new registration with the relevant project name by the project initiator is required for each authorisation enquiry. This also applies in cases of representation by consulting companies. In these cases, the consulting company can complete the registration and then submit the authorisation enquiry on behalf of the project initiator.

Access to the FINMA portal can be requested via the following link (<u>FINMA portal registration</u>). As the licence type, please select "*FinTech authorisation enquiry*". After you fill in the form you will receive a confirmation email from portaladmin@finma.ch to the email address you provided. Open the link in the email and complete the registration.

If you already have access to the FINMA portal, you can register for additional institutions after logging in.



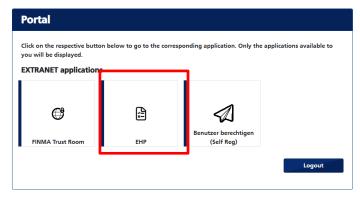




2 Complete and submit the form

Once you have registered, you can log in to the FINMA portal and select the "EHP" tile.





The authorisation enquiry is available under "Submissions". Please complete the Word form linked there. A short online form must also be completed for the submission. Attach the Word form including attachments to the submission using the drag-and-drop function.

You can then send the submission to FINMA. You will receive confirmation by email. For companies that are still in the course of incorporation or have their registered office abroad, FINMA will set a deadline for an advance payment to be made before processing the authorisation enquiry.

3 Processing and finalisation by FINMA

Once the authorisation enquiry has been submitted, FINMA may ask questions by email or telephone. If necessary, the EHP submission can be sent back by FINMA for correction, edited or supplemented and then resubmitted.

Once FINMA has completed its work, a corresponding response letter is sent, a separate invoice is issued and the EHP status is set to "completed".

4 Technical support

For further technical support, please consult the EHP support page.