

User instructions

Registration for insurance intermediaries

31. October 2023

Referenz:

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1 Change control

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The change control page shows the status of this document. Every change results in a new version x.0. The initial version is 1.0.

Change control

Version	Date	Change made by	Comment
0.1			

Review

Version	Date	Change reviewed by	Comment

Approval

Version	Date	Approved by	Comment

Distribution list

Organisation	Member of staff

2 Introduction

Referenz:

In order to register for the first time or submit follow-up documentation as an untied insurance intermediary, you require access to the EHP. To register with FINMA via the EHP you need to register once on the FINMA portal and complete self-registration. These instructions will guide you through this process step by step.

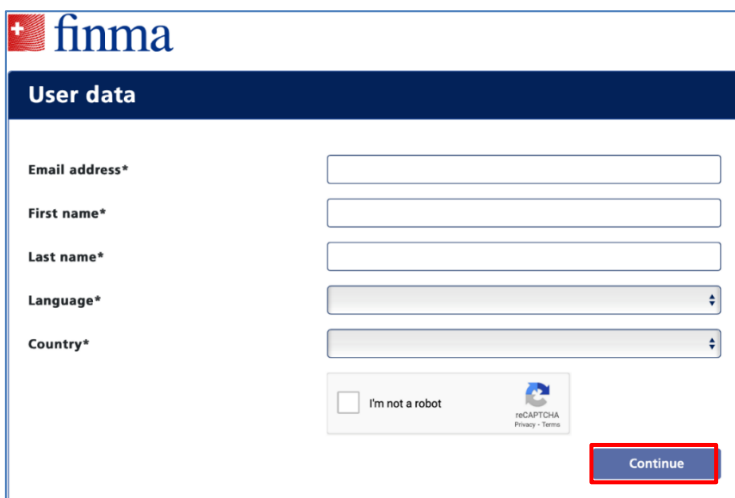
3 FINMA portal registration

Referenz:

Untied insurance intermediaries register on the FINMA portal as follows:


3.1 Open the page "[FINMA portal registration](#)".

3.2 Fill in the required fields with your personal data and click **[Continue]**:



The screenshot shows the FINMA portal registration form. At the top is the FINMA logo. Below it is a dark blue header with the text "User data". The form contains several input fields: "Email address*", "First name*", "Last name*", "Language*" (a dropdown menu), and "Country*" (a dropdown menu). Below these fields is a checkbox labeled "I'm not a robot" next to a reCAPTCHA logo. At the bottom right of the form is a blue button labeled "Continue".

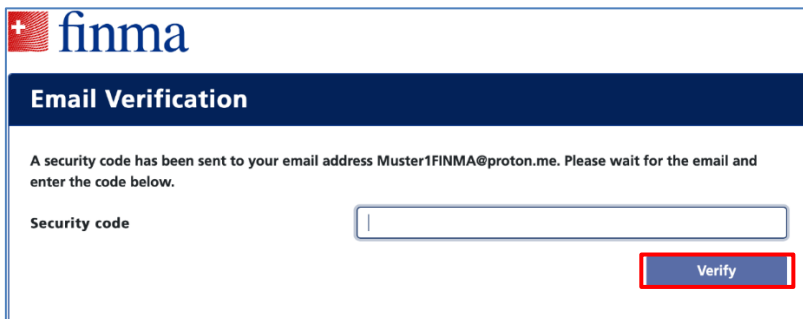
3.3 A security code will be sent to the email address you provided.



The screenshot shows an email from the FINMA portal. At the top is the FINMA logo. Below it is a dark blue header with the text "FINMA portal: Please complete the registration process". The email body contains the following text: "Welcome to the FINMA portal.", "You have successfully completed the first stage of registration on the FINMA portal.", "Please click on the link below to complete the registration.", and a red box containing the security code "FaYTg5ufmXBPjphB". Below this is the text "This is an automatically generated message. Please do not respond to this email address." and "Kind regards,". At the bottom is the text "Swiss Financial Market Supervisory Authority FINMA".

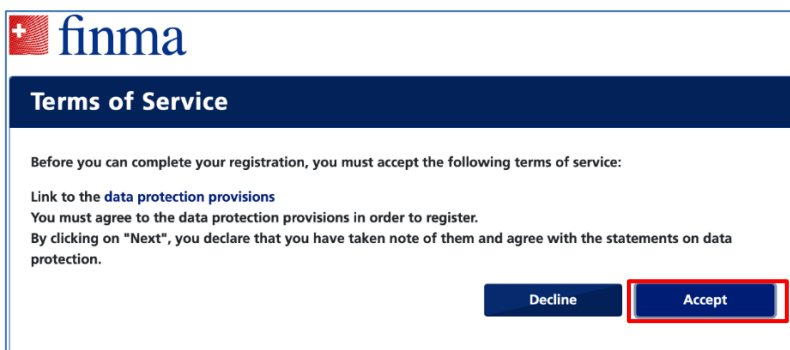
3.4 Please enter the security code.

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The screenshot shows the 'Email Verification' page of the finma portal. At the top is the finma logo. Below it is a dark blue header with the text 'Email Verification'. The main content area has a message: 'A security code has been sent to your email address Muster1FINMA@proton.me. Please wait for the email and enter the code below.' Below this message is a label 'Security code' followed by a text input field. To the right of the input field is a blue button labeled 'Verify', which is highlighted with a red rectangular box.

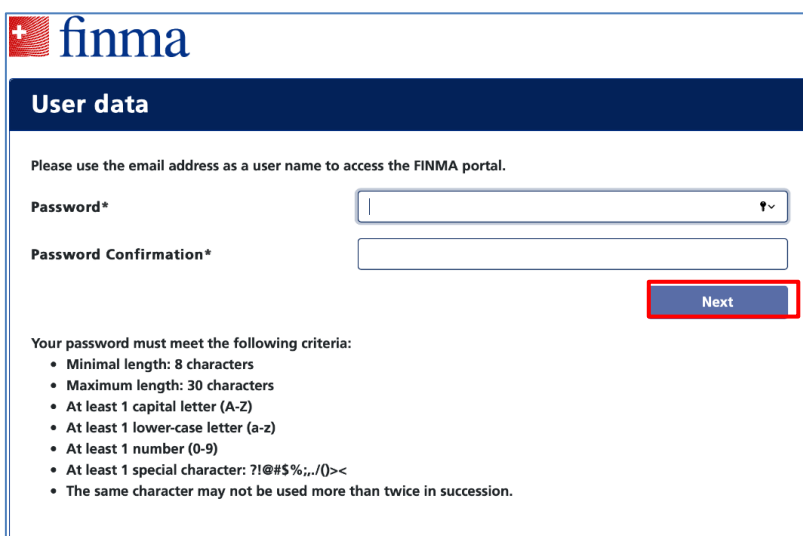
3.5 Please read and agree to the terms of use.



The screenshot shows the 'Terms of Service' page of the finma portal. At the top is the finma logo. Below it is a dark blue header with the text 'Terms of Service'. The main content area contains the text: 'Before you can complete your registration, you must accept the following terms of service:'. Below this is a link: 'Link to the [data protection provisions](#)'. This is followed by two lines of text: 'You must agree to the data protection provisions in order to register.' and 'By clicking on "Next", you declare that you have taken note of them and agree with the statements on data protection.' At the bottom right of the content area are two buttons: 'Decline' and 'Accept'. The 'Accept' button is highlighted with a red rectangular box.

3.6 Set your personal password and then click **[Next]**:

(pay attention to the requirements when creating your password)

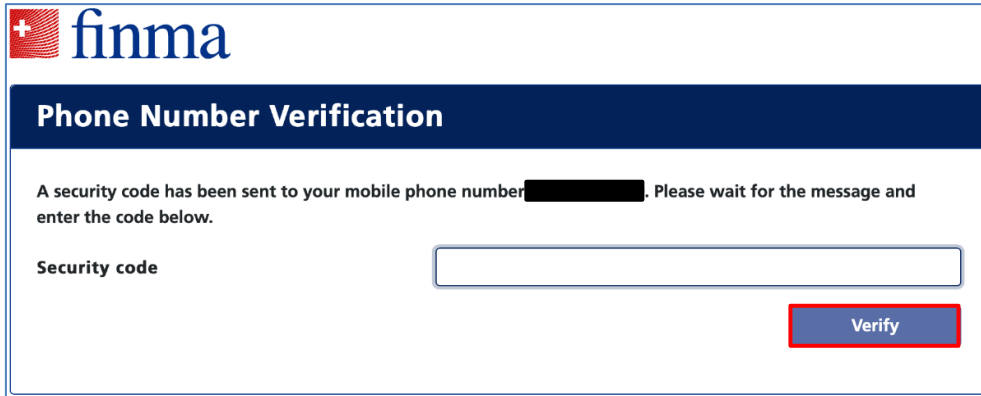


The screenshot shows the 'User data' page of the finma portal. At the top is the finma logo. Below it is a dark blue header with the text 'User data'. The main content area starts with the instruction: 'Please use the email address as a user name to access the FINMA portal.' Below this are two labels: 'Password*' and 'Password Confirmation*', each followed by a text input field. To the right of the 'Password*' input field is a small upward and downward arrow icon. Below the input fields is a blue button labeled 'Next', which is highlighted with a red rectangular box. At the bottom of the page, there is a section titled 'Your password must meet the following criteria:' followed by a bulleted list of requirements: 'Minimal length: 8 characters', 'Maximum length: 30 characters', 'At least 1 capital letter (A-Z)', 'At least 1 lower-case letter (a-z)', 'At least 1 number (0-9)', 'At least 1 special character: ?!@#\$%&*,./()><', and 'The same character may not be used more than twice in succession.'

- 3.7 Enter your mobile phone number in international format (e.g. +41) and click **[Verify]**:

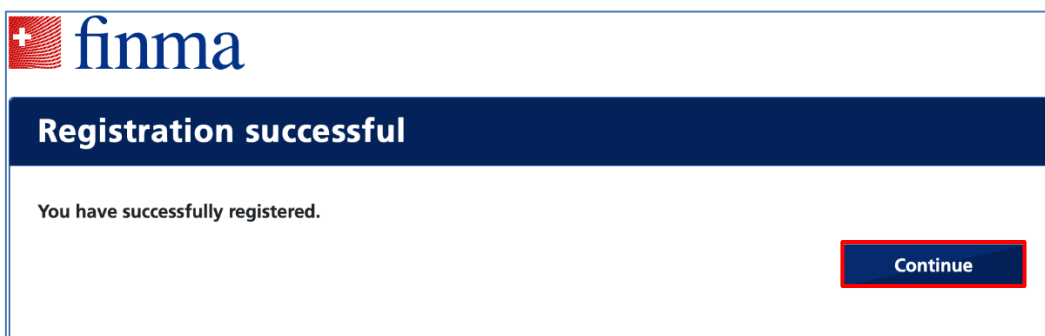
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Note: It is not possible to log in without entering a mobile phone number due to two-factor authentication.



The screenshot shows the 'Phone Number Verification' screen of the finma portal. At the top left is the finma logo. Below it is a dark blue header with the text 'Phone Number Verification' in white. The main content area has a light blue background and contains the text: 'A security code has been sent to your mobile phone number [REDACTED]. Please wait for the message and enter the code below.' Below this text is a label 'Security code' followed by a text input field. To the right of the input field is a blue button with the text 'Verify' in white, which is highlighted with a red border.

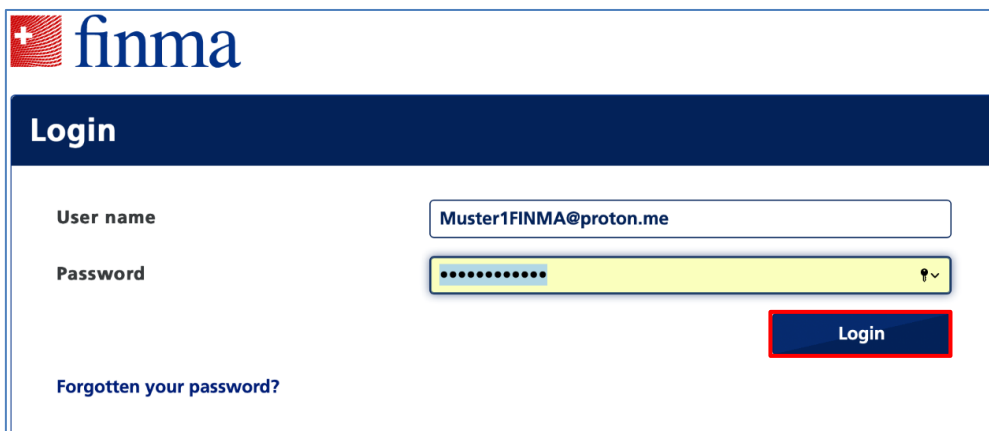
- 3.8 Please enter the security code sent by SMS.
- 3.9 The registration is now complete. Click **[Continue]** and you will be redirected to the FINMA portal. Alternatively, the portal can be accessed via the URL <https://portal.finma.ch> or via the FINMA website.



The screenshot shows the 'Registration successful' screen of the finma portal. At the top left is the finma logo. Below it is a dark blue header with the text 'Registration successful' in white. The main content area has a light blue background and contains the text: 'You have successfully registered.' Below this text is a blue button with the text 'Continue' in white, which is highlighted with a red border.

3.10 Log in with your email address and password. Click **[Login]**:

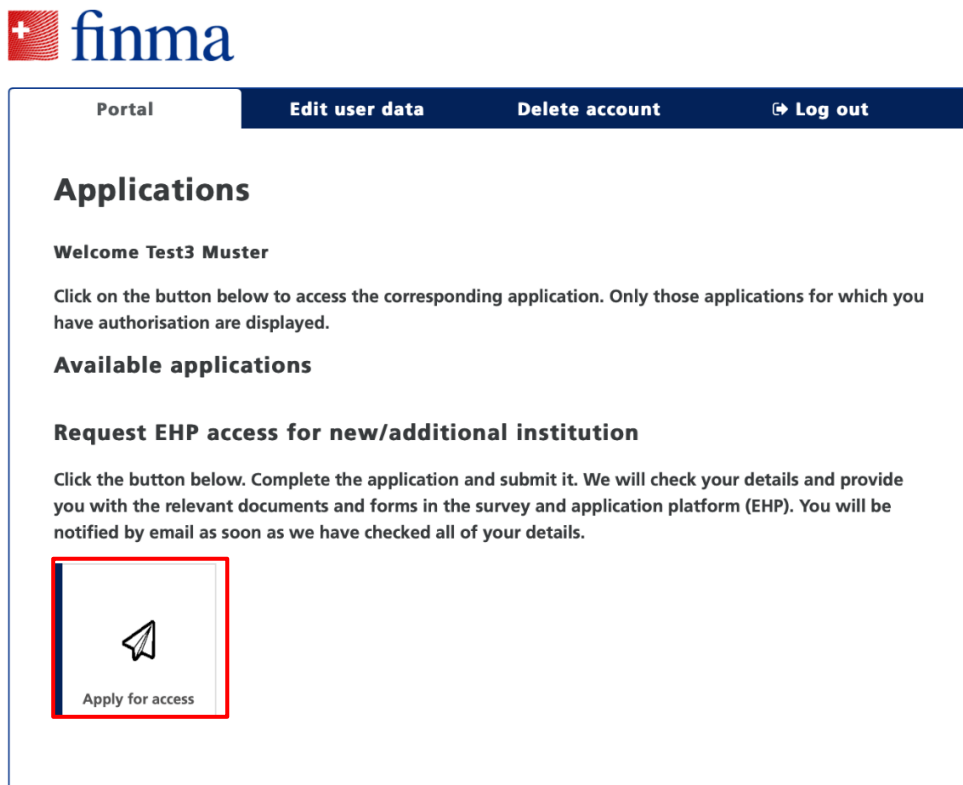
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The screenshot shows the finma login interface. At the top left is the finma logo. Below it is a dark blue header with the word "Login" in white. The main area contains two input fields: "User name" with the text "Muster1FINMA@proton.me" and "Password" with masked characters. A red "Login" button is to the right of the password field. Below the password field is a link that says "Forgotten your password?".

4 Apply for EHP access (self-registration)

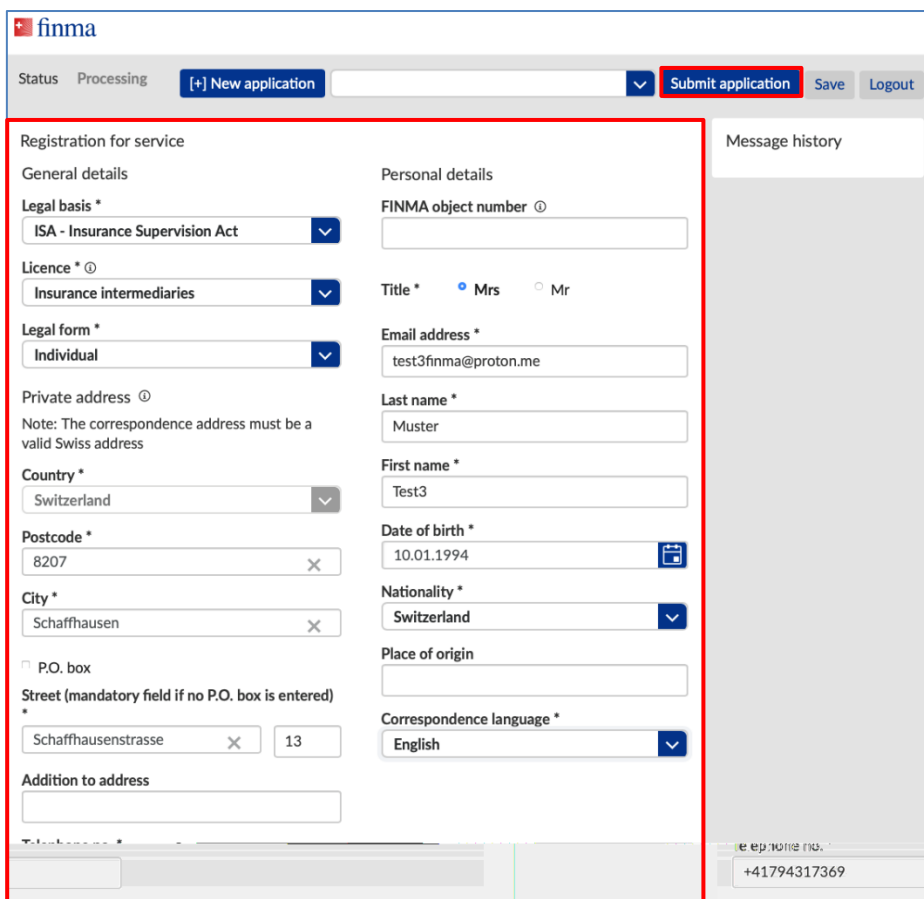
4.1 To access the survey and application platform, log in to the FINMA portal as described in paragraph 3.10 and click the **[Apply for access]** button:



The screenshot shows the finma portal dashboard. At the top left is the finma logo. Below it is a dark blue header with the word "Portal" and three buttons: "Edit user data", "Delete account", and "Log out". The main area is titled "Applications" and contains a welcome message: "Welcome Test3 Muster". Below this is a paragraph: "Click on the button below to access the corresponding application. Only those applications for which you have authorisation are displayed." This is followed by the heading "Available applications" and a sub-heading "Request EHP access for new/additional institution". Below this is another paragraph: "Click the button below. Complete the application and submit it. We will check your details and provide you with the relevant documents and forms in the survey and application platform (EHP). You will be notified by email as soon as we have checked all of your details." At the bottom left, there is a button with a paper plane icon and the text "Apply for access", which is highlighted with a red box.

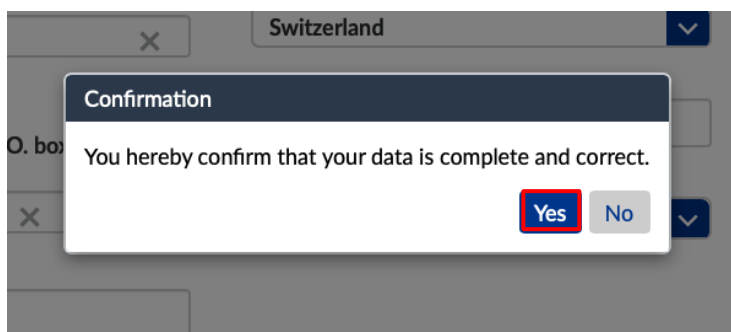
4.2 Complete and submit the application form by clicking the **[Submit application]** button:

Referenz:



The screenshot shows the finma application form interface. At the top, there is a status bar with 'Status Processing', a '+ New application' button, and a 'Submit application' button highlighted with a red box. Below this, the form is divided into two main sections: 'Registration for service' and 'Personal details'. The 'Registration for service' section includes fields for 'Legal basis *' (ISA - Insurance Supervision Act), 'Licence *' (Insurance intermediaries), 'Legal form *' (Individual), 'Private address' (Note: The correspondence address must be a valid Swiss address), 'Country *' (Switzerland), 'Postcode *' (8207), 'City *' (Schaffhausen), 'P.O. box' (unchecked), 'Street (mandatory field if no P.O. box is entered) *' (Schaffhausenstrasse 13), and 'Addition to address'. The 'Personal details' section includes fields for 'FINMA object number', 'Title *' (Mrs), 'Email address *' (test3finma@proton.me), 'Last name *' (Muster), 'First name *' (Test3), 'Date of birth *' (10.01.1994), 'Nationality *' (Switzerland), 'Place of origin', and 'Correspondence language *' (English). A 'Message history' section is visible on the right side of the form.

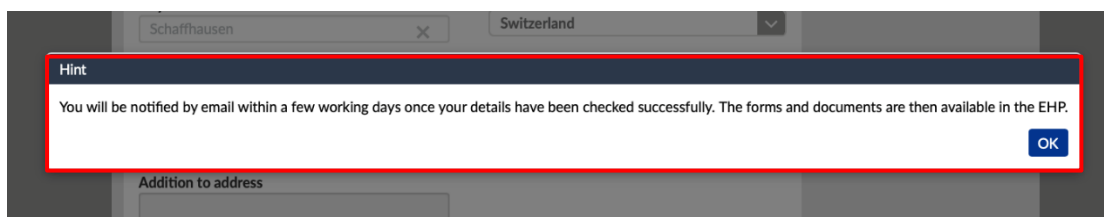
4.3 Please confirm your details:



The screenshot shows a confirmation dialog box titled 'Confirmation'. The text inside the dialog reads: 'You hereby confirm that your data is complete and correct.' Below the text, there are two buttons: 'Yes' (highlighted with a red box) and 'No'.

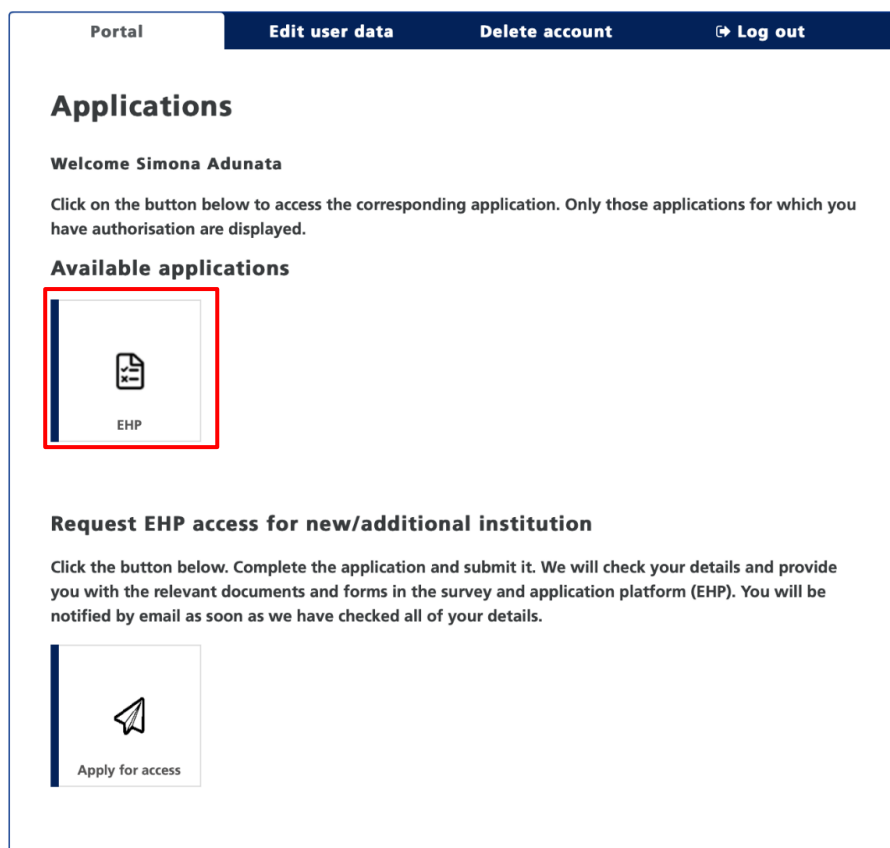
- 4.4 Once your details have been successfully checked, you will be notified by email within a few working days. You can then log in to the FINMA portal and access the documents and forms provided from 01.01.2024.

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5 EHP application

- 5.1 Click on the “EHP” button to access the application. The documents provided will be available to you in the EHP from 1 January 2024.



6 FINMA portal use

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The portal can be accessed via the URL <https://portal.finma.ch> or alternatively via the FINMA website. Once you are logged in to the FINMA portal, you have the following options:

7 Annex