



Please complete this form and return it together with photocopies of all relevant supporting documents to the SFC by:

Email	<a href="mailto:complaint@sfc.hk">complaint@sfc.hk</a>
Post	35/F, Cheung Kong Center, 2 Queen's Road Central, Hong Kong

## I. Complainant's details

Title: Mr ☐ /Mrs ☐ /Ms ☐ /Miss ☐

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_

Address:	
Email address:	
Telephone number:	

If the complaint is being lodged by a company or you wish to appoint an authorised person to handle the complaint, please also complete Section VII. Appointment of representative.

## II. Information about your complaint

**What is the nature of your complaint? Please tick a box below (you can select more than one):**

- ☐ Unlicensed activities (eg, trading or advising on securities without holding SFC licence)
- ☐ Misconduct by licensed persons and firms (eg, misappropriation, unauthorised trading)
- ☐ Collective investment schemes
- ☐ Listed companies related (eg, rights issues, takeovers)
- ☐ Others (eg, scam, impersonation). Please specify:

Please provide the full name and particulars (eg, address, phone number, email address, website, CE number\* or stock code) of the parties against which the complaint is made.

Full name of the parties complained of	Particulars

*If you need more space, please continue on a separate sheet of paper and attach it to this form.*

\* CE number is the Central Entity number of SFC-licensed persons, firms and registered institutions. You can visit our website ([www.sfc.hk](http://www.sfc.hk)) and check if the parties complained of are licensed by or registered with the SFC on our [Public Register of Licensed Persons and Registered Institutions](#).

### III. Complaint details

Where did the matter you wish to complain about happen?

☐ Hong Kong

☐ Outside Hong Kong

☐ Others. Please specify: \_\_\_\_\_

Allegations:

Please elaborate your allegations (eg, date, time, place, parties involved, etc)

*If you need more space, please continue on a separate sheet of paper and attach it to this form.*

#### IV. Other details (eg, bank accounts in Hong Kong for settlement)

#### V. List of documents in support of your complaint

Are you able to provide any documents supporting the events that you describe (eg, client agreements, contract notes, account statements, correspondence, marketing materials, brochures, leaflets)? **(Please enclose photocopies of all relevant documents.)**

☐ Yes, please specify:

	Document
1.	
2.	
3.	
4.	

☐ The documents will be emailed to the SFC at [complaint@sfc.hk](mailto:complaint@sfc.hk)

☐ The documents will be sent to the SFC by post at

35/F, Cheung Kong Center, 2 Queen's Road Central, Hong Kong

☐ No, I do not have any supporting document.

## VI. Actions you have taken

Have you previously lodged a complaint with the SFC, which is related to the current one?

☐ **Yes**

Date of previous  
complaint

Day

Month

Year

--	--	--

Reference number (if known)

--

**No**

Please indicate whether you have lodged the same complaint with the company named in Section II above, other regulators/organisations or the police, and provide the relevant information below:

Name of the company or organisation you lodged the same complaint with	Date of complaint	Reference number of your complaint (if any)	Investigation result (if any)

*Please enclose a photocopy of your complaint letter and, where appropriate, the reply of the company or organisation.*

## VII. Appointment of representative

If you wish to appoint a representative to handle your complaint on your behalf, please complete the following:

I authorise \_\_\_\_\_ (Name)  
to handle my complaint on my behalf, including submitting information, enquiring about the progress of my complaint, and receiving information and documents (which may include personal information and data) from the SFC.

Representative's correspondence/email address:

\_\_\_\_\_

Representative's telephone number:

\_\_\_\_\_

## VIII. Important information

1. Consent to disclose complaint details and complainant's personal data to the parties complained of and all related entities. **(NOTE: Without this consent, the SFC may not be able to take any further action.)**

☐ I agree to the SFC disclosing my personal data and information about this complaint to the parties complained of and all related entities for the purpose of handling the complaint.

☐ I disagree to the SFC disclosing my personal data and information about this complaint to the parties complained of and all related entities. **(NOTE: If you disagree, the SFC may not be able to take any further action.)**

2. Consent to disclose your personal data and complaint details to other regulators and organisations if the matter falls under their remit (eg, The Stock Exchange of Hong Kong, Insurance Authority, Hong Kong Monetary Authority, overseas regulators). **(NOTE: Without this consent, the SFC may not be able to take any further action.)**

☐ I agree to the SFC disclosing my personal data and information of this complaint to other regulators and organisations if the matter relates to their remit for the purpose of handling the complaint.

☐ I disagree to the SFC disclosing my personal data and information of this complaint to other regulators and organisations. **(NOTE: If you disagree, the SFC may not be able to take any further action.)**

### 3. Release of information

In reviewing your complaint, the SFC may need to contact the company or person complained of or another authority (eg, The Stock Exchange of Hong Kong, Hong Kong Monetary Authority) in order to obtain further information, and details of your complaint and your personal data may have to be disclosed to these parties for these purposes.

Notwithstanding the SFC's policy that your identity should be kept confidential wherever possible, if the information you disclose to the SFC is held or used for certain purposes related to law enforcement and regulation, the SFC is exempt from the application of data protection principles 3 and 6 (use of personal data and access to personal data) by Section 58 of the Personal Data (Privacy) Ordinance (Chapter 486 of the Laws of Hong Kong).

The information can then be used for these purposes, whether or not a complainant gives authority. The purposes include the prevention, preclusion or remedying (including punishment) of unlawful or seriously improper conduct, and protecting the public from financial loss arising from dishonesty, incompetence, malpractice or seriously improper conduct by persons concerned in the provision of financial services.

### 4. Anonymous complaint or complainant with no full name

While an anonymous complaint will be processed according to our complaints handling procedures, it is not our normal practice to respond to an anonymous complainant or a complainant who did not provide his or her full name and valid contact information.

#### 5. Secrecy provision of the Securities and Futures Ordinance

We cannot always tell a complainant what we have discovered because we are restrained by law from disclosing information obtained during the performance of our regulatory functions. There are exceptions to this, for instance, when action stemming from an investigation, such as a prosecution or disciplinary action, is concluded. Such information will generally be made public by way of a press release.

6. I confirm that the information provided in this Complaint Form is true, complete and accurate.

### IX. Our performance pledge

We shall send you a preliminary response within two weeks.

### X. Signature

\_\_\_\_\_  
Signature of the complainant\*

\_\_\_\_\_  
Name / Company Name of the complainant

\_\_\_\_\_  
Signature of the authorised  
representative\* (where applicable)

\_\_\_\_\_  
Name of the authorised representative (where applicable)

\*The SFC may not be able to process your complaint if this Complaint Form is not signed.

This document must be saved in your computer or electronic device before you send the document to the SFC.