

## Against intermediaries and market activities

### Who we are

The SFC is an independent statutory regulator of the Hong Kong securities and futures markets. Our powers are derived from the Securities and Futures Ordinance (SFO).

### Examples of complaints within our jurisdiction

- Unlicensed activities on securities or futures
- Misconduct by licensed persons and firms (eg, misappropriation, unauthorised trading)
- Market manipulation and insider dealing
- Public offering of unauthorised collective investment schemes

### File a complaint with the SFC

In order for us to handle your complaint effectively, we advise you to file it in writing using our Complaint Form, which is available online on our website ([www.sfc.hk](http://www.sfc.hk)) under “Lodge a complaint”.

After completing the Complaint Form, please send it to us:

- by email to [complaint@sfc.hk](mailto:complaint@sfc.hk); or
- by post to 54/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong.

If you cannot write to us, you can call us on 2231 1222 (press 5 after selecting your preferred language).

When filing a complaint with us, please note that we cannot:

- ✗ act as your legal adviser
- ✗ intercede in private civil disputes
- ✗ get your money back
- ✗ comment on service quality issues and commercial decisions

### Checklist of information required for filing a complaint

Please include the following information in your complaint:

- Your full name and contact information;
- Full name of person and company you wish to complain against;
- Details of the matter you complain about in chronological order;
- Relevant supporting documents such as client agreements, account statements, correspondence and marketing materials (send photocopies only if the complaint is filed by post); and



- Indication whether you give us your consent to disclose your personal data and complaint details to the parties complained of, all related entities and other regulators. Please note that without your consent, we may not be able to take further action.

Please read our [Privacy policy statement](#) under Corporate policies and notices on our website to understand how we use your personal data provided in the complaint.

### **How your complaint is handled**

- We will give you a preliminary response within two weeks, but it is not our normal practice to advise progress and the outcome of our review to an anonymous complainant.
- Our Complaints Control Committee will first review complaints within our jurisdiction and decide whether we need to take any further action. We will inform you of our preliminary assessment.
- Not every complaint triggers a formal investigation. We need to meet the legal threshold under the SFO to start an investigation.
- We are restrained by the secrecy provision of the SFO from disclosing to you information obtained from our regulatory work. There are exceptions to this, for instance, when we take public action about the matter such as prosecution.

### **Call Termination Policy**

In the event a complainant uses foul or abusive language with our staff members, the complainant will be informed once that, if the use of such language continues, the discussion will be terminated. If the complainant continues to use such language, the complainant will be advised to put the matter in writing.