

Complaint Form

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P L V F R Q Q W F V G F R P S D Q L H V P L D V H R P Q G G S F W E B H I H I U L Q J H F X U P V U N H W
below. Upon completion, please return it together with photocopies of all relevant
supporting documents to the SFC by:

Email complaint@sfc.hk
Post 54/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong

2. Who are you complaining against?

Full name of the person / company complained against	
Address	
Email address (if any)	
Telephone number	

3. Unauthorised collective investment schemes / SFC- authorised products-related matters (eg. disclosure- related, marketing materials, performance-related, breach of regulatory requirements)

Name of the product complained of			
Are you an investor of the product?		Amount of loss you suffered (if any)	
Name of the management company/ product issuer/ trustee/ custodian/ intermediary complained of			
Have you complained to /contacted the management company or product issuer? If yes, please specify the response from management company or product issuer.			

Date, time and key events of the complaint

Please let us know if your complaint concerns the following aspect(s):

- advertisements or marketing materials
- disclosure of product-related information
- fees and charges
- mis-handling of account by intermediaries
- mis-selling
- pecuniary dispute
- pricing
- standard of service
- structure / design of the product
- others. Please specify: _____

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- c. Please advise whether you identified any breach or non-compliance with SFC's codes, guidelines or rules by the fund and/or the management company or product issuer, if any.

Yes, please elaborate: _____

No _____

Not sure

- d. Please provide the documents (eg. offering documents, termsheet, agreements,

5. List of documents in support of your complaint

Are you able to give us any documents supporting the events that you describe (eg, client agreement, contract notes, account statements, correspondence, marketing materials, brochure, leaflet)? (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.

The documents will be sent to the SFC by post at
54/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong.

No, I do not have any supporting document.

6. Actions you have taken

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

Month

Year

7. Appointment of representative for individual complainant

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:

8. Important information

Consent to the SFC

For the purpose of handling this complaint, I (please tick as appropriate)

☐ agree

to the SFC disclosing this complaint and my personal information contained herein to:

(please tick as appropriate)

☐ the subject(s) of the complaint and their related entities.

☐ other regulators if the complaint relates to their remit.

I understand that if I do not select "agree", the SFC may not be able to take the complaint further.

I understand that normally the SFC will not disclose this complaint and my personal information unless I have granted my consent. However, I also understand that, the SFC is exempt from certain principles in the Personal Data (Privacy) Ordinance if the information I provide to the SFC is used for certain purposes related to law enforcement and regulation. The information can then be used for these purposes whether or not a complainant gives consent. For details, please read our [Privacy policy statement](#) on our website at www.sfc.hk

Personal Information Collection Statement of the SFC in respect of Use of Personal Data Collected in Complaints

I acknowledge and understand that:

Data Collection and Use

All information and Personal Data submitted in making a complaint to the SFC (whether in the SFC's prescribed complaint form or in any document(s) supplied or to be supplied or in any subsequent telephone conversations with the SFC) will be used, disclosed or transferred only for those purposes related to the complaint, for discharging the SFC's statutory functions, or where permitted or required by law. The provision of my personal data is voluntary. If the information provided is inaccurate or incomplete, consideration of my complaint may be **D I I H F W H G**

All information and Personal Data provided to the SFC may be disclosed to relevant courts, panels, tribunals and committees, and/or other local and/or overseas regulatory / government / judicial bodies as permitted or required under the law, pursuant to any regulatory / supervisory / investigatory assistance arrangements between the SFC and other regulators (local / overseas), or persons engaged by the

