

## Lodge a complaint about intermediaries' conduct, public offerings of securities, market misconduct, listed companies misconduct or takeovers

The Securities and Futures Commission (SFC) is an independent statutory regulator of the Hong Kong securities and futures markets. Our powers are mainly set out in the Securities and Futures Ordinance (SFO).

You may consider filing a complaint with the SFC if you come across matters of concern within the SFC's jurisdiction, for example:

- unlicensed activities in Hong Kong;
- misconduct of SFC-licensed individuals and firms;
- unauthorised collective investment schemes publicly offered in Hong Kong;
- market manipulation or insider dealing;
- misconduct by listed companies under the SFO or related regulations;
- or
- non-compliance with The Codes on Takeovers and Mergers and Share Buy-backs.

However, please note that the SFC is not in a position to:

- handle matters that are outside its remit of regulating the securities and futures markets in Hong Kong;
- order that financial compensation be paid to you;
- intervene in service quality issues, private civil disputes or commercial decisions; or
- start a formal investigation if the legal threshold under the SFO is not met.

## File a complaint with the SFC

In order for us to handle your complaint effectively, please complete our [online Complaint Form](#).

You may also [download](#) our Complaint Form in PDF format, complete and submit it to us by email or by post.

## FAQs

### 1. What is the role of the SFC in handling complaints?

#### The SFC focuses on:

- whether the subject of the complaint has breached the rules and regulations administered by the SFC.
- whether there is any regulatory concern that requires follow-up action on the part of the SFC.

#### The SFC does not:

- order that financial compensation be paid to you
- intercede in private civil disputes
- intervene in service quality issues and commercial decisions
- provide legal advice

### 2. How should I make a complaint to the SFC?

You are required to complete our [online Complaint Form](#), or you may [download](#) our Complaint Form in PDF format, complete and submit it to us by email or by post.

### 3. Can I make a complaint to the SFC by telephone?

To avoid any misunderstanding, the SFC requires that you fill out a [Complaint Form](#) to ensure accuracy of information.

#### 4. Does the SFC accept anonymous complaints?

A complaint will be treated as an anonymous complaint if the mandatory information is not provided in Part 1 of the [Complaint Form](#).

We will process an anonymous complaint according to our complaint handling procedures. An acknowledgement of receipt will be provided to an anonymous complainant who has given us valid contact information but no further information will be given thereafter.

#### 5. What should I expect after submitting a Complaint Form?

You will receive an acknowledgement of receipt

- upon successful submission of a [Complaint Form](#) via the SFC's website or by email to [complaint@sfc.hk](mailto:complaint@sfc.hk), or
- within 2 weeks from the date of complaint receipt if submission is made by post and valid contact information is provided.

If needed, the SFC may contact you for clarification and/or further information. However, please note that:

- calls with the SFC will be recorded;
- not every complaint triggers a formal investigation. We need to meet the legal threshold under the SFO to start an investigation; and
- we are generally prevented by law from disclosing information obtained from our regulatory work to you. For details, please refer to our [Disclosure policy](#).

## 6. How will my personal data be used in filing a complaint?

Normally the SFC will not disclose your complaint or your personal information to any third party unless you grant consent. However, the SFC is also exempt from certain principles in the Personal Data (Privacy) Ordinance if the information provided by you is used for certain purposes related to law enforcement and regulation, whether or not you give consent. For details, please refer to our [Privacy policy](#).

## 7. What is the SFC's policy on the use of personal data collected in complaints?

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

#### 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 personal data is voluntary. If the information provided is inaccurate or incomplete, consideration of the complaint may be affected.
- All information and Personal Data collected 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 us and other regulators (local / overseas), or persons engaged by us to assist us in the performance of our statutory functions.

#### Access and Correction

- Any complainant who wishes to request access to and/or correction of his/her Personal Data held by the SFC may do so in writing addressed to the Data Privacy Officer, Securities and Futures Commission, 54th Floor, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong. All data access request should be made using the specified Data Access Request Form, which can be downloaded from the SFC website at [www.sfc.hk](http://www.sfc.hk).