

Please complete this form and check the applicable boxes below. Upon completion, please 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	54/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong

## 1. Complainant's details

(please select as appropriate)

☐ Individual complainant<sup>#</sup>

Full name*	
First four digits of HKID / Passport*	
Postal address*	
Telephone number*	
Email address (if any)	

<sup>#</sup>If you wish to appoint an authorised person to handle the complaint, please also complete Part 7 Appointment of representative for individual complainant.

*\*Mandatory*

*Note: I understand that if I do not provide the information specified in the mandatory fields, including **your full name, first four digits of HKID / passport, postal address and telephone number**, the SFC will treat this complaint as an anonymous complaint and will not provide any response to me.*

☐ Corporate complainant

Company name*	
Place of incorporation*	
BR/CR number*	
Postal address*	
Full name of representative*	
Telephone number of representative*	
Email address of representative	

*\*Mandatory*

*Note: I understand that if I do not provide the information specified in the mandatory fields, including **the company name, place of incorporation, BR/CR number, postal address, full name and telephone number of representative**, the SFC will treat this complaint as an anonymous complaint and will not provide any response to me.*

## 2. Who are you complaining against?

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

### Are you a client of the company complained against?

☐ Yes

Account number	
Account type (eg. securities or futures, etc)	
Name of account holder	

☐ No

### Have you made any investment via the company?

☐ Yes

Type of investment	
Transaction date (date / month / year)	
Disputed amount	

☐ No

### Did the matter complained of happen in Hong Kong?

☐ Yes

☐ No Please specify: \_\_\_\_\_

### 3. What are you complaining about?

**What is the nature of your complaint? Please tick as appropriate.**

- ☐ Unlicensed activities (eg, trading or advising on securities without holding SFC licence)
- ☐ Misconduct by licensed persons and firms (eg, misappropriation, unauthorised trading)
- ☐ Unauthorised collective investment schemes / SFC-authorised products-related matters (eg, disclosure-related, marketing materials, performance-related, breach of regulatory requirements)
- ☐ Listed companies related (eg, disclosure of information, corporate governance, rights issues, takeovers)
- ☐ Others (eg, fraud, impersonation).

Please specify: \_\_\_\_\_

### 4. Complaint details

Please elaborate your allegations in chronological order.

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

## 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](mailto: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?

☐ **Yes**

Date of previous complaint    Day    Month    Year  
       

Reference number (if known)   

☐ **No**

Have you complained to the entities complained against in Part 2 above, other regulators/organisations or the police? If yes, please provide the relevant information below:

Name of the entities complained against, other regulators/ organisations, or the police you have 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 entities complained against, other regulators/organisations or the police.*

## 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

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](http://www.sfc.hk)

## 9. Signature

I confirm that:

- 1) the information provided in this Complaint Form is true, complete and accurate.
- 2) I understand that if I do not provide the information specified in the mandatory fields in Part 1 Complainant's details, the SFC will treat this complaint as an anonymous complaint and will not provide any response to me.

\_\_\_\_\_  
Signature\* of the complainant / authorised representative

\_\_\_\_\_  
Date

\*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.