



**Complaint Form in relation to Securities or Futures Products
and Services provided by Authorized Institutions¹ (AIs)**

GUIDANCE NOTES

Please use this form to provide details of your complaint in relation to securities or futures products and services provided by AIs². Upon receiving your completed form, we will issue an acknowledgement to you, and if necessary, contact you to seek further information or clarifications.

Under the Securities and Futures Ordinance, we will make a preliminary assessment to see if your complaint suggests any non-compliance with the rules and guidelines of the Securities and Futures Commission (SFC).

If it is considered that there is not adequate evidence to suggest any non-compliance with the SFC rules and guidelines, we will refer your complaint to the AI concerned for investigation in accordance with our normal complaint handling procedures (please see leaflet enclosed). The AI is expected to give you a direct reply, normally within 30 days³.

Please also note that the Hong Kong Monetary Authority does not have the power to arbitrate in disputes between AIs and their customers. Neither does it have the power to order AIs to pay compensation. If compensation is requested in your complaint, you need to seek any such compensation from the institution directly.

Also, our ability to disclose to you the outcome of our inquiry and any measures taken by us would be limited by the confidentiality provisions of the Banking Ordinance.

1 Authorized institutions refer to banks, restricted licence banks or deposit-taking companies.

2 Please use a separate form for complaints in relation to banking products and services provided by AIs.

3 Up to 60 days is allowed for the final reply in more complicated cases. But the AI is expected to give you an interim reply within 30 days.

A. Your personal details**Details of any one complaining with you ⁴**

Surname		(Mr/Mrs/Ms)		(Mr/Mrs/Ms)
First name(s)				
Correspondence address				
Daytime contact telephone number			Fax	

Your age group

(please tick box where appropriate)

20 and below []

31 – 40 []

51 – 60 []

21 – 30 []

41 – 50 []

61 and above []

B. Details of the AI you are complaining

Name of AI	
Branch and address	

C. Details of the bank staff ⁵ you are complaining against , if known

Name	
Job title	

⁴ If there are more than two of you making this complaint, please list details of the other persons on a separate piece of paper and attach it to this form.

⁵ If there are more than one staff member of the bank involved in your complaint, please list the details of these staff members of the bank on a separate piece of paper and attach it to this form.

Branch and address	
Department	
Phone	

D. Details of your complaint

Your account number and type of account (e.g. savings a/c, deposit a/c, current a/c, securities a/c) where applicable.

Account No. : Account Type :	Account No. : Account Type :
Account No. : Account Type :	Account No. : Account Type :

Please sum up your complaint

Please use this space to list the *main points* of your complaint.

(Please attach copies of relevant correspondence with the bank. If your complaint is in relation to calls made without your expressed invitation, please specify how you were approached by the AI and fill in the details on Part E.)

It will help if you list **in date order** all the letters, phone calls or meetings that are relevant to your complaint. This may take a little time but it will make sure the facts are set out as clearly as possible.

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

E. If your complaint is in relation to calls made without your expressed invitation, please fill in the details below:

- **What was the date of the call/discussion in relation to your complaint?**

Day	Month	Year
<input type="text"/>	<input type="text"/>	<input type="text"/>

- **Do you have any securities and/or futures account maintained with the AI within the preceding three years?**

Yes [] No []

If yes, please specify the type of account (e.g. securities / futures)

- **Has the AI provided to you any securities or futures products and services within the preceding three years?**

Yes [] No []

If yes, please specify the type of products and/or services

F. We also need to know ...

- **Have you already lodged your complaint with the AI concerned?** Yes [] No []

If yes, when was the complaint lodged?

Day	Month	Year

- **Have you received a written reply from the AI about your complaint?**

Yes []* No []

* If you have answered Yes, please attach a copy of the AI's letter to this form.

G. Your permission for us to go ahead

“ I would like the Hong Kong Monetary Authority to consider my complaint. I understand that:

- You will need to handle personal details about me in order to deal with my complaint effectively.
- You may need to exchange information about my complaint with other organisations (for example, to find out important facts relating to my case).”

Sign here

Signature

Date

Signature

Date

Name

Name

Now please return this completed form to us at:

Banking Services Complaint Unit
Hong Kong Monetary Authority
55th Floor, Two International Finance Centre
8 Finance Street
Central, Hong Kong

E-mail : bankcomplaints@hkma.gov.hk

Fax : (852) 2509 3990

Have you ...

- | |
|--|
| <ul style="list-style-type: none">✓ Included everything you want to tell us about your complaint?✓ Enclosed copies of relevant documents including any reply from the AI? |
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May 2005