



SECURITIES AND
FUTURES COMMISSION
證券及期貨事務監察委員會

Complaint Form (Complaints in general)

3 O H D V H F R P S O H W H

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 an y invest ment 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:_____ B

5. List of documents in support of your complaint

9. Signature

I confirm that:

the information provided in this Complaint Form is true, complete and accurate.

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.

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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.