

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;
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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:

regulations admini(dm)-3(i)138 6(m)-e c(p 52 (he)10er)7 F)5 (C)16 60149Tw 102677()TJE

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

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.