

COMPLAINT FORM

Checklist

To assist you in completing this form, please complete the checklist below. This will help to expedite the progress of your complaint.

- Provide / set out your complaint in enough detail to understand the nature of the complaint, including a timeline setting out the relevant dates.
- Provide a copy of supporting documents, including any relevant correspondence and a copy of the agreement between you and the member to provide services.
- Details of the action you have taken to resolve the issue with the member.
- Do not provide personal information about third parties (other than the member, the subject of the complaint or the firm they represent or work for).
- Do not provide any government identifiers (for example, tax file numbers).
- All parties must sign the signature section page on the last page of the form (including any representative who is making a complaint on behalf of a client).

*Please note that SAFAA will usually only accept a complaint where the complainant identifies themselves. An anonymous complaint might not be actioned.

Once you have completed the form you can email it to:
complaints@stockbrokers.org.au

or alternatively, by post to:
Chief Executive
Stockbrokers and Financial Advisers Association
Level 6, 56 Pitt Street
SYDNEY NSW 2001



1. WHO IS THE SUBJECT OF YOUR COMPLAINT?

Member's Name _____

Member's Number
(if known) _____

Name of
Member's Firm _____

Address of
Member/
Member's Firm _____

Town _____ State _____ Postcode _____

Member's email _____

Member's Telephone _____ (Work) _____ (Mob)

2. COMPLAINANT'S DETAILS

Name _____

Name of
Your Firm (if applicable) _____

Address _____

Town _____ State _____ Postcode _____

Your email _____

Your Telephone _____ (Home) _____ (Mob)

We will send all correspondence to you at the email address you provide with this complaint, unless you specify that you would rather receive correspondence by mail.



3. DETAILS OF THE COMPLAINT

Please set out the details of your complaint. Please describe all of the background information to explain the nature of your complaint, including all relevant dates in chronological order.

If the space is not sufficient, please attach an annexure.

Please also attach copies of all relevant documents.

4. LIST OF SUPPORTING DOCUMENTS

1.
2.
3.
4.
5.
6.

Have you lodged a complaint or referred this matter to any of the organisations listed below or any other (if not listed below)?

Yes

No

If yes, please tick the relevant box

Please also confirm dates and the details of their response/s:

- Australian Securities & Investments Commission
- Tax Practitioners Board
- Department of Fair Trading or Consumer Affairs
- Australian Taxation Office
- Australian Prudential Regulation Authority
- Police (State or Federal)
- Other

To your knowledge, are the events the subject of your complaint the subject of any proceedings in any court or Tribunal?

Yes

No

If yes, please provide details:

5. PRIVACY STATEMENT

SAFAA is committed to protecting the privacy and security of the Personal Information which it holds about you.

The Personal Information you provide to us will be used by SAFAA to investigate the complaint and in any SAFAA disciplinary proceedings, including any reviews or appeals. If you do not provide us with this Personal Information, we may not be able to investigate your complaint.

SAFAA may disclose the Personal Information you provide us to third parties, including:

- the Member in question and their representative
- tribunal members and staff of SAFAA involved in the disciplinary process
- agents, contractors or service providers who we engage to carry out functions, such as investigating the complaint, transcript recording service providers, obtaining legal or other advice, but only for the purpose of SAFAA's disciplinary procedures
- regulatory bodies as required by law or pursuant to the SAFAA Constitution and Conduct Review and Disciplinary System
- other professional bodies of which the Member may be a member.

Your Personal Information may be transferred out of Australia for the purposes stated above.

You have the right to access any Personal Information which SAFAA holds about you, subject to the exceptions in the Privacy Act 1988 (Cth). You may also request the correction of information which is inaccurate. Access and/or correction requests can be made at the SAFAA Sydney office.

For more information on SAFAA's Privacy Policy, visit our website at www.stockbrokers.org.au

6. CONSENT

1. I/we understand that SAFAA will forward a copy of this complaint and any documents provided, and any further correspondence or information relevant to the complaint, to the Member and/or to the firm of which the member is a representative or employee.
2. I/we consent to SAFAA being given access to any of my/our files or records held by the Member or by the Member’s firm for the purpose of investigating this complaint or any action resulting from this complaint.
3. I/we agree that all information, correspondence and other documentation sent and/or received by me/us in connection with this complaint and its outcome, including the investigation and, if applicable, review is confidential and I/we agree to maintain the confidentiality of such information and documentation except as required by law or with the consent of SAFAA. (Confidential Information).
4. I/we consent to SAFAA providing any information relating to the complaint to a regulatory authority.
5. I/we have read and consent to SAFAA’s Privacy Statement above.
6. I/we understand that SAFAA may continue to take action with respect to the substance of the complaint notwithstanding that the complaint may have been withdrawn.

AUTHORISATION (IF APPLICABLE)

I authorise _____(name) to act on my behalf in relation to this complaint.

Complainants Signature

<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Signature	
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Date			/			/				
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The form must be signed by all complainants including any representative who is making a complaint on behalf of another person or acting on the complainant’s behalf.