



**ASIC**

Australian Securities &  
Investments Commission

# Complaint form

## Read this first

You can use this form to complain to us about a person or company. If you want to complain about ASIC, or a member of ASIC's staff, check our website, [www.asic.gov.au](http://www.asic.gov.au) or phone Infoline on **1300 300 630** for information.

Please read our brochure entitled "How to complain to ASIC" before you complete this form. It gives you important information about how to fill out this form.

## We don't investigate everything

We do not fully investigate every complaint we receive. In many cases we can suggest other ways of solving the problems you tell us about. Starting an investigation is a serious decision with legal implications so we will only investigate a complaint if we are confident that it will help us to better regulate markets products and services we are responsible for.

Although we cannot investigate every complaint, we want to know about your concerns. Even if we cannot fully investigate your complaint, it may help us prevent similar problems occurring in the future or issue warnings to other people.

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## Tell us about yourself

ASIC is collecting the information on this form to determine what, if any, action it can take. This collection is authorised under the ASIC Act. ASIC treats all complaints it receives in confidence. The information you provide will only be used in accordance with ASIC's functions and powers as described in the ASIC Act. Any information you provide will not be disseminated outside ASIC without your permission except as required or authorised by or under law.

**Mr/Ms/Mrs**

.....  
(given name)

.....  
(family name)

**Your address**

.....  
(care of)

.....  
(office floor building)

.....  
(street)

.....  
(locality)

.....  
(state)

.....  
(post code)

.....  
(country)

**Email ( )**

**Phone ( )**

**Mobile ( )**

**Fax ( )**

**Tell us your daytime  
telephone number as it is  
quicker to ask about your  
complaint by phone.**

**More questions? Call Infoline on 1300 300 630**

**What best describes your connection with this complaint?**

- ☐ Anonymous
- ☐ Accountant
- ☐ Company officer
- ☐ Competitor
- ☐ Creditor
- ☐ Employee
- ☐ General public
- ☐ Investor/shareholder
- ☐ Lawyer
- ☐ Media

**Where did the events that led to your complaint occur?**

- ☐ Australian Capital Territory
- ☐ Northern Territory
- ☐ New South Wales
- ☐ Queensland
- ☐ South Australia
- ☐ Tasmania
- ☐ Western Australia
- ☐ Victoria

**Tell us who you want to complain about.**

You can complain about a company or a person. Give us as much information as you can. If you want to tell us about more than two companies or more than two people please include the details of the other companies or people on a separate page. If your complaint is about a company and a person, include information about both.

**Companies****Company 1**

Name of company .....

Company or Organisation number, if known .....

**Address of the company**

Care of .....

Office, Floor, Building .....

Street number and street name .....

Locality ..... State .....

Postcode ..... Country .....

Website address .....

Phone (    ) .....

Fax    (    ) .....

**Company 2**

Name of company .....

Company or Organisation number, if known .....

Care of .....

Office, Floor, Building .....

Street number and street name .....

Locality ..... State .....

Postcode ..... Country .....

Website address .....

Phone (    ) .....

Fax    (    ) .....

**Who do you want to complain about? (Continued)**

Give us as much information as you can. If you want to tell us about more than two people please include the details of the other people on a separate page.

**People****Person 1****Mr/Ms/Mrs**

(given name)

(family name)

**Address of the person****Care of****Office, Floor, Building****Street number and street name****Locality****State****Postcode****Country****Email address****Phone (    )****Mobile****Fax (    )****Person 2****Mr/Ms/Mrs**

(given name)

(family name)

**Address of the person****Care of****Office, Floor, Building****Street number and street name****Locality****State****Postcode****Country****Email address****Phone (    )****Mobile****Fax (    )**

## Tell us about your complaint

To help us to understand how we can help you there is some information we would like you to give us:

**How much money or property is involved?** AU\$ .....

If no money or property is involved or the amount is unknown, write zero.

**Have you, or another person that you know of, started legal action over this complaint?**

Yes                      No                      (please circle)

**Please tick any of the following organisations if you have contacted them about your complaint.**

- ☐ Australian Banking Industry Ombudsman
- ☐ Australian Competition and Consumer Commission
- ☐ Australian Federal Police
- ☐ Australian Prudential Regulation Authority
- ☐ Australian Taxation Office
- ☐ Fair Trading or Consumer Affairs
- ☐ Financial Industry Complaints Service
- ☐ Financial Planning Association
- ☐ Insurance Brokers' Dispute Facility
- ☐ State Police
- ☐ Superannuation Complaints Tribunal

**When did the events which led to your complaint happen?**

Enter Month and Year eg 01/2001 .....

## Tell us what happened

**Describe events in the order they happened. Include dates.**

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*Continue on the next page if you need more space*

[illegible]

**More questions? Call Infoline on 1300 300 630**

**Date**

What date did you post or fax your complaint? .....

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**Documents**

If you have relevant documents (for example, statements or invoices) please send us a copy. Do **not** send us the original documents now. Keep original documents in a safe place in case they are needed later.

**What happens now?**

Thank you for telling us about your complaint.

When we receive your complaint we will write to you to confirm receipt. When you receive that letter you will notice that it also gives you a reference number for further inquiries, and will usually have contact details for the officer who is dealing with your complaint.

We deal with most complaints within 28 days, however, if we need to make external inquiries this may take longer. We will inform you of our decision in writing as soon as possible.

**Post this form**

ASIC Complaints  
Australian Securities and Investments Commission  
PO Box 9149  
Traralgon Vic 3844

**Or fax it to** (03) 5177 3749

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