



ASIC

Australian Securities &
Investments Commission

Complaint form

Read this first

You can use this form to make a complaint to ASIC about a person or company. If you want to make a complaint about our decisions or staff you should visit our website, www.asic.gov.au or phone Infoline on **1300 300 630** for information.

Mr/Ms/Mrs

(given name)

(family name)

Your address

(care of)

(office floor building)

(street)

(suburb or 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.

Confidentiality

ASIC considers your complaint to have been given to us in confidence and we will not reveal the contents of your complaint without your consent unless we are required or authorised to do so under law.

When we receive your complaint, we read the material you have provided to decide whether it is a matter that ASIC should consider further. There are certain situations where it may be appropriate for ASIC to either refer your complaint to another organisation or agency, or where we need to make further inquiries relating to your complaint. To allow us to take action on your complaint as soon as possible, please answer the following two questions:

More questions? Call Infoline on 1300 300 630

Authority to release information

Q1 If we consider your complaint falls within the jurisdiction of another government organisation or agency, in Australia or overseas, do you consent to us referring your complaint information to us to that other government organisation or agency?

Yes **No** (Circle one only)

Q2 If we need to make further inquiries about your complaint, do you consent to us contacting the subject(s) of your complaint?

Yes **No** (Circle one only)

What best describes your connection with this complaint?

- Anonymous
- Accountant
- Company officer (current)
- Company officer (former)
- Competitor
- Creditor
- Customer
- 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 () _____

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 () _____

Date

What date did you post or fax your complaint? _____

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