

Complaint Form
in relation to Services provided by an Authorized Institution¹ (“AI”)
投訴表格
關於認可機構¹提供的服務

IMPORTANT NOTES

If you want to lodge with the Hong Kong Monetary Authority (“HKMA”) a complaint in relation to any services, including general banking, investment and insurance services, provided by an AI, please complete this form by providing the relevant details and signing it. Upon receiving your completed form, we will issue an acknowledgement to you and, if necessary, contact you to seek further information or clarification. We will then follow up your complaint with the AI concerned in accordance with our established complaint handling procedures.

You are encouraged to lodge a formal complaint with the AI concerned first in order to give it the chance to resolve your complaint at an early stage. If the AI concerned has not fully addressed your complaint or has not sent you a final response within 30 days² after receiving your complaint, you may seek assistance from the HKMA by lodging a complaint with the HKMA using this form.

Please note that the HKMA does not have the power to intervene in, or adjudicate, disputes between AIs and their customers. Nor does the HKMA have the power to interfere with AIs’ commercial decisions and order AIs to pay compensation.

The disclosure of information by the HKMA about issues of supervisory concern identified in complaints and the measures taken against AIs and their staff as well as the details of our inquiries (other than the disclosure of information permitted by law when imposing disciplinary sanctions) is prohibited by the official secrecy provisions of the Banking Ordinance.

注意事項

如需向香港金融管理局投訴某認可機構所提供的任何服務，包括一般銀行服務、投資服務、與及保險服務，請在本表格上提供有關詳情並簽署。我們收到閣下填妥的投訴表格後，會以書面確認收妥。如有需要，我們會與閣下聯絡，獲取進一步的資料或澄清某些事項。我們然後會按照已既定的處理投訴程序，跟進閣下對有關認可機構的投訴。

我們鼓勵閣下先向有關認可機構提出正式投訴，為給予該認可機構機會及早解決閣下的投訴。若有關認可機構未能完全回應閣下的投訴，或未能在收到投訴後 30 日內² 給予最後回覆，閣下可以本表格向金管局投訴。

請注意，金管局無權介入認可機構與客戶之間的糾紛或就該糾紛作出裁決，亦無權干擾認可機構的商業決定，或指令認可機構作出賠償。

基於《銀行業條例》的保密條文所限，金管局不能向閣下披露就處理投訴所關注的監管事項、向認可機構及其職員所採取的行動及查訊的詳情 (但在施加紀律處分時所披露的資料是法律准許的)。

Note:

¹ An “authorized institution” means a licensed bank, a restricted licence bank or a deposit-taking company authorized by the HKMA under the Banking Ordinance (Cap. 155).

² Up to 60 days is allowed for the final reply in more complicated cases, but the AI should give a complainant an interim reply within 30 days explaining why a longer period is required.

註：

¹ 根據《銀行業條例》(第 155 章)，「認可機構」指持牌銀行、有限牌照銀行或接受存款公司。

² 若投訴個案較複雜，認可機構最遲可在 60 日內發出最後回覆，但仍應在 30 日內先行致函投訴人，解釋需要較長時間處理投訴的原因。

A. Your personal details
閣下的個人資料

Primary Holder of Bank Account 銀行戶口主要持有人				Other Holder of Bank Account 銀行戶口其他持有人			
Name 名稱		(Mr/Mrs/Ms) (先生/太太/女士)				(Mr/Mrs/Ms) (先生/太太/女士)	
HKID No/BR No 身分證號碼/商業登記號碼		Year of birth 出生年份		HKID No/BR No 身分證號碼/商業登記號碼		Year of birth 出生年份	
Correspondence Address 通訊地址							
Telephone No. 電話號碼		Home 住宅		Office 辦公室		Mobile 手提	
Fax 傳真				E-mail 電郵			

Name of contact/responsible person 聯絡人/負責人名稱				Relationship/Post 關係/職位			
Correspondence Address 通訊地址							
Telephone No. 電話號碼		Home 住宅		Office 辦公室		Mobile 手提	
Fax 傳真				E-mail 電郵			

If there are more than two persons making this complaint, please list the details on a separate piece of paper and attach it to this form.
若投訴人超過兩位，請另行在白紙上列出其他人士的資料，然後連同本表格一併遞交。

B. The AI concerned
有關的認可機構

Name of AI 認可機構名稱				Branch/Department 分行/部門			
Address 地址							

**C. The AI staff concerned (if any)
認可機構的有關職員（如有）**

Name of the Staff 職員姓名			
Job Title 職銜		HKMA Reg. No. 金管局註冊編號	
Name of the Staff 職員姓名			
Job Title 職銜		HKMA Reg. No. 金管局註冊編號	

If there are more staff members of the AI involved in your complaint, please list the details of these staff members of the AI on a separate piece of paper and attach it to this form.

若投訴涉及多名該認可機構的職員，請另行在白紙上列出其他職員的資料，然後連同本表格一併遞交。

**D. Your Account(s)
閣下的有關賬戶**

Account Number: 戶口號碼:		Account Type*: 戶口類別:	
Account Number: 戶口號碼:		Account Type*: 戶口類別:	
Account Number: 戶口號碼:		Account Type*: 戶口類別:	

* Current/Saving/Time Deposit/Loans/Securities/Investment/Credit Card/etc. 支票/儲蓄/定期/貸款/股票/投資/信用卡/等等

If there are more accounts involved in your complaint, please list the details of the accounts on a separate piece of paper and attach it to this form.

若投訴涉及多個賬戶，請另行在白紙上列出其他賬戶的資料，然後連同本表格一併遞交。

**E. Details of the transactions (if complaint is related to investment)
交易詳情（如投訴與投資有關）**

Product Name: 產品名稱:				Buy/Sell 買入/賣出
Transaction date: 交易日期:		Maturity date: 到期日期:		
Involved amount: 涉及金額:	Currency 貨幣	Amount 金額	Loss suffered: 蒙受損失:	
Product Name: 產品名稱:				Buy/Sell 買入/賣出
Transaction date: 交易日期:		Maturity date: 到期日期:		
Involved amount: 涉及金額:	Currency 貨幣	Amount 金額	Loss suffered: 蒙受損失:	
Product Name: 產品名稱:				Buy/Sell 買入/賣出
Transaction date: 交易日期:		Maturity date: 到期日期:		
Involved amount: 涉及金額:	Currency 貨幣	Amount 金額	Loss suffered: 蒙受損失:	

If there are more transactions involved in your complaint, please list the details on a separate piece of paper and attach it to this form.

若投訴涉及多次交易，請另行在白紙上列出其他交易的資料，然後連同本表格一併遞交。

**F. Have you lodged a formal complaint with the AI concerned?
閣下是否已向有關認可機構提出正式投訴?**

Yes / No 是 / 否	AI's Complaint Ref.: 認可機構的投訴編號		Date of offer of compensation: 提出補償的日期	
	Date of Complaint: 投訴日期		Details of compensation provided by AI 認可機構作出補償的 詳情	
	Date of AI's Reply: 認可機構的回覆日期		Date of acceptance of compensation: 接受補償的日期	

**G. Your allegations
閣下的指控**

Please describe precisely in point form all of the *allegations* of your complaint. 請以點列形式明確地描述閣下的指
控。

1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	

If you need more space, please continue on a separate piece of paper and attach it to this form. 如上欄位置不足夠，請另行在白紙上繼續填寫，然後連同本表格一併遞交。

J. Your consent to our handling of your complaint 處理閣下的投訴之同意書

“I would like the Hong Kong Monetary Authority (“HKMA”) to consider my complaint. I understand that:

- all information and personal data supplied by me will only be used, disclosed or transferred for the purposes directly related to the complaint and the same may be used by, or disclosed to, or transferred to, third parties who will be involved in the investigation of the complaint, including the authorized institution and/or its staff who are the subject of the complaint, and related authorities and agencies, which are authorized to receive information relating to law enforcement, prosecution or review of decisions;
- should I wish to request access to or correction of my personal data held by the HKMA, I may do so in writing to the Complaint Processing Centre of the HKMA at the address shown below. The HKMA may charge a reasonable fee for complying with my data access request; and
- it is voluntary for me to supply to the HKMA the relevant information and personal data. If the information or personal data provided are not accurate or complete, the processing of my complaint may be affected.”

「本人希望香港金融管理局(下稱“金管局”)處理本人的投訴。本人明白：

- 本人向金管局提供的所有有關個案及個人資料，可能會被使用、披露或轉交予第三方(包括參與調查投訴的人士、被投訴的認可機構及/或其被投訴的職員、其他相關機構如執法、起訴及覆檢決定的機構)；
- 若本人擬查閱或更改提交予金管局的個人資料，本人可以書面方式向金管局投訴處理中心提出。金管局可能會就處理本人查閱資料的要求收取合理費用；以及
- 本人是自願向金管局提供個案及個人資料，如本人提供的資料不真確或不完整，可能會影響金管局處理本人的投訴。」

Signature

簽署

Date

日期

Signature

簽署

Date

日期

Name

姓名

Name

姓名

Please send this completed form in person or by post:
填妥表格後請遞交或寄回：

Complaint Processing Centre
Hong Kong Monetary Authority
55th Floor, Two International Finance Centre
8 Finance Street, Central, Hong Kong

香港中環金融街 8 號
國際金融中心 2 期 55 樓
香港金融管理局
投訴處理中心

By Fax:

以傳真傳送：

(852) 2509 3990

By E-mail :

以電郵傳送：

bankcomplaints@hkma.gov.hk

Telephone enquiry:

如有查詢，請致電：

(852) 2878 1378

Have you...
閣下是否...

- Included everything you want to tell us about your complaint?
已提供有關投訴的全部資料？
- Enclosed copies of relevant documents including any reply from the AI concerned?
已隨本表格夾附有關文件(包括有關認可機構給予閣下的書面回覆)的副本？
- Signed the consent for us to handle your complaint? 已簽署同意書，同意本局處理閣下的投訴？