

SIAA COMPLAINT FORM



Stockbrokers and Investment
Advisers Association
Serving the interests of investors

CHECKLIST

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

- ☐ SIAA can only deal with complaints against our Members. Please [review the list of SIAA Members](#) to check that you are lodging a complaint against a Member.
- ☐ 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 SIAA will usually only accept a complaint where the complainant identifies themselves. An anonymous complaint might not be actioned.

Once you have completed the form:

Email it to: complaints@stockbrokers.org.au

or alternatively, by post to: Chief Executive
Stockbrokers and Investment Advisers Association
Level 2, 74 Pitt Street
SYDNEY NSW 2000



1. WHO IS THE SUBJECT OF YOUR COMPLAINT?

Member's name (If a SIAA Principal member):

Member's name (If a SIAA Practitioner member):

Name of Practitioner 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:

Address:

Town:

State:

Postcode:

Your email:

Your telephone: (work)

(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 Financial Complaints Authority (AFCA)

☐ 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

SIAA 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 SIAA to investigate the complaint and in any SIAA 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.

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

- the Member in question and their representative
- tribunal members and staff of SIAA 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 SIAA's disciplinary procedures
- regulatory bodies as required by law or pursuant to the SIAA 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 SIAA 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 SIAA Sydney office.

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



6. CONSENT

1. I/we understand that SIAA 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 SIAA 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 SIAA. (Confidential Information).
4. I/we consent to SIAA providing any information relating to the complaint to a regulatory authority.
5. I/we understand that SIAA 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

Signature:

Signature:

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.