

COMPLAINT against a Member of Financial Advice New Zealand

Complainant Contact Details:

Name: _____

Address _____

Tel: _____ Mobile: _____

Email: _____

Member Contact Details:

Name: _____

Business Name / Address: _____

State clearly and in sufficient detail the basis of the complaint; (namely provide the reasonable particulars of where, when, in what circumstances the alleged misconduct took place)

Continue on separate page if necessary or attach a document

Using the Association's Code of Ethics, Rules of Conduct, Practice Standards please state which rule(s) has allegedly been breached:

Continue on separate page if necessary or attach a document

Have you formally notified the Member of this complaint? Yes No

Has the Member responded to your notification? (If yes, please attach their response to this form) Yes No

Have you and the Member followed the member's internal complaints process? Yes No

Have you contacted the Member's Approved Disputes Resolution Scheme? Yes No

If yes, has the Approved Disputes Resolution Scheme made any arbitration decision? Yes No

Have you referred the complaint to any other regulatory body or government authority? Yes No

Have legal proceedings commenced? Yes No

I acknowledge that Financial Advice New Zealand complaints process does not provide for monetary recompense. I agree that the member may provide my personal information to the Association when responding to this complaint.

Signature of Complainant: _____ Date: _____