



Finance Brokers Association of Australia (FBAA) Misconduct Complaint Form

Contact Information

Member Details – Who is the person you wish to make a complaint about?

Name: _____

Organisation: _____

Membership Number (if known): _____

Your Details

Name: _____

Address: _____

Contact Number: _____

Email address: _____

- Relationship with Member: (tick the appropriate box)
- I engaged the Member to be my finance broker.
 - I am a credit provider to the Member.
 - I am another Member

If you are another Member, what is your membership number _____

If your complaint is accepted by FBAA, we will need to disclose this information to the above member in order to ensure they can respond meaningfully. If you do not consent to this, we cannot consider your complaint.

Particulars of the Complaint

A Misconduct Complaint is made under the Disciplinary Rules of FBAA (Rules). Under these Rules, a misconduct complaint can be made where a Member is alleged to have breached the Code of Conduct or a piece of legislation which imposed an obligation on the Member for the benefit of its clients.

The Code of Conduct is available on FBAA's website.

Obligations of the Member

- What did the Member breach? (Tick as appropriate)
- The Code of Conduct
 - A piece of legislation.

If you ticked piece of legislation:

What piece of legislation was breached? _____

What section of legislation was breached? _____

Conduct of the Member

In the space provided below, please identify the conduct of the Member which you consider breached the Code of Conduct or piece of legislation. If more space is required, please:

- write this on a separate piece of paper;
- mark this separate piece of a paper as an “Annexure”; and
- refer to the Annexure in the space below as well as the number of pages of the Annexure.

How does the conduct of the Member breach its obligations?

In the space provided below, please identify how the conduct of the Member described above breached the Code of Conduct or piece of legislation. If more space is required, please:

- write this on a separate piece of paper;
- mark this separate piece of a paper as an “Annexure”; and
- refer to the Annexure in the space below as well as the number of pages of the Annexure.

Supporting Information

Please list the documents which support the above complaint in the space below. Please provide these to FBAA with this form.

Confirmation

I wish to make a Misconduct Complaint pursuant to rule 3.1.3 of the Disciplinary Rules of FBAA against the relevant Member and on the grounds stated in this form.

I consent to my personal information (as identified in this form) being collected by FBAA. I consent to my personal information being provided to the relevant Member. I acknowledge that I have read and understood FBAA's privacy policy (available at <https://www.fbaa.com.au/privacy-policy/>) and that my personal information will be used and disclosed in the manner set out in that policy including for the purpose of considering and managing my complaint.

Signed: _____

Name: _____

Date: _____

Please return signed complaint form and email back with supporting information to disputes@fbaa.com.au.