



Finance Brokers Association of Australia Limited (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: I engaged the Member to be my finance broker.
(tick the appropriate box) 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 the FBAA, we will need to disclose this information to the above member in order to ensure they can respond meaningfully. We will contact you further prior to doing this.

Particulars of the Complaint

A Misconduct Complaint is made under the Disciplinary Rules of the 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 the FBAA website.

Obligations of the Member

What did the Member breach? The Code of Conduct
(Tick as appropriate) 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 the FBAA with this form.

Confirmation

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

Signed: _____

Name: _____

Date: _____

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