

FDRC is a company limited by guarantee

## Financial Dispute Resolution Centre (FDRC) Financial Dispute Resolution Scheme Application Form

Please put a "√" in  where appropriate

Our Ref: _____
Date Received: _____
(For Official Use Only)

**I. Date of Application:** \_\_\_\_\_  
(dd/mm/yyyy)

II. Particulars of Applicant(s)		(1)	(2) (For joint-account only)
1	Name <i>(*Delete where appropriate)</i>	*Mr/Ms/Mrs/Miss	*Mr/Ms/Mrs/Miss
2	Identity Document No. <i>(*Delete where appropriate)</i>	*HKID/Passport/Others(Please specify):	*HKID/Passport/Others(Please specify):
3	Telephone No.	<input type="checkbox"/> Home	
		<input type="checkbox"/> Office	
		<input type="checkbox"/> Mobile	
4	Fax No. (if any)		
5	Email Address (if any)		
6	Correspondence Address		
7	Business Name (if applicable)		
8	Business Registration Number (if applicable)		

### III. Particulars of the Financial Institution

1	Name of Financial Institution ("FI")	
2	Contact Person	
3	Telephone No. of the Contact Person	
4	Address	

### IV. Details of the Dispute

1	Nature of the financial service from which the dispute arises (e.g. financial product, service or advice about a financial product or service provided by or via an FI)	
2	Name of the financial product(s) involved	
3	Reference or Account No.	
4	Date of purchase of the financial product or rendering of the service/advice ( <i>*See Note</i> )	
5	Date of knowledge about monetary loss ( <i>*See Note</i> )	
6	Amount claimed	<input type="checkbox"/> HK\$
		<input type="checkbox"/> Other currencies:
7	A copy of all supporting documents is provided (DO NOT SUBMIT ORIGINALS OF DOCUMENTS)	<input type="checkbox"/> Yes <input type="checkbox"/> No

[\*Note: The claim is made within 12 months from the date of purchase of the financial product / service or first knowledge of loss.]

## V. Actions taken in respect of the Dispute

1	Have you lodged a written complaint with the FI?	<input type="checkbox"/> Yes
		(a) The date: (b) Please describe the complaint you have lodged:
		<input type="checkbox"/> No
<i>[Note: FDRC does not have jurisdiction to deal with a claim which has not been first handled by the relevant FI.]</i>		
2	Has the FI responded to your complaint in writing?	<input type="checkbox"/> Yes. The date:
		<input type="checkbox"/> No
3	Has the FI offered any settlement / redress?	<input type="checkbox"/> Yes. The details:
		<input type="checkbox"/> No
4	Any court action has been taken?	<input type="checkbox"/> Yes. The court file ref.:
		<input type="checkbox"/> No
<i>[Note: FDRC does not have jurisdiction to handle a claim which is or has been a subject of court proceedings.]</i>		
5	Have you lodged a complaint with the Insurance Claims Complaints Bureau (ICCB)?	<input type="checkbox"/> Yes. The file ref.:
		<input type="checkbox"/> No
<i>[Note: FDRC does not have jurisdiction to handle a claim which is or has been filed with the ICCB.]</i>		
6	Have you lodged a complaint with the Hong Kong Monetary Authority (HKMA) / Securities and Futures Commission (SFC)?	<input type="checkbox"/> Yes. The complaint file ref.:
		<input type="checkbox"/> No

## VI. Language Preferences

1	Written communication	<input type="checkbox"/> Chinese	<input type="checkbox"/> English
2	Mediation	<input type="checkbox"/> Cantonese	<input type="checkbox"/> English <input type="checkbox"/> Putonghua

## VII. Application Fee

HK\$200.- (Non-refundable)	<input type="checkbox"/> By cash
	<input type="checkbox"/> By cheque payable to "Financial Dispute Resolution Centre"

### VIII. Notice to the Gathering of Personal Data

The personal data provided by the Applicant under this Form is for the purpose of processing the claim in the procedures as prescribed in the Terms of Reference of the FDRC. The personal data so provided will be handled by or revealed to the personnel of the FDRC.

### IX. Declaration

1	<input type="checkbox"/> I agree <input type="checkbox"/> I do not agree to give consent to the FDRC to provide the information in this form to regulators such as the HKMA and the SFC.
2	<input type="checkbox"/> I agree <input type="checkbox"/> I do not agree to give consent to the FDRC to provide the information in this form to the FI.
3	I know that the application fee (HK\$200.-) is non-refundable even if my application is not successful.
4	I agree to cooperate with the personnel of the FDRC by providing all relevant documents and information, when requested, including information that may be personal data, for the FDRC to assess whether the application may be accepted under the Financial Dispute Resolution Scheme administered by the FDRC. The consequence of not providing some or all of the requested personal data may be that the FDRC is unable to process my application.
5	I agree that the personal data I have voluntarily provided in this form is for the purpose of processing my application under the Terms of Reference of the FDRC. The information and personal data provided will be handled by or revealed to the personnel of the FDRC and may be used for research, evaluation and educational purposes, provided that the FDRC shall not use information which reveals, or is likely to reveal, directly or indirectly, my identity.
6	I am aware that I have the right to request access to and correction of my personal data submitted for this application. Formal requests under the Personal Data (Privacy) Ordinance should be submitted in writing to the Data Protection Officer at the FDRC at Unit 3701-4, 37/F, Sunlight Tower, 248 Queen’s Road East, Wan Chai, Hong Kong. Such personal data will be retained until the end of the following calendar year after my Application is rejected or until the end of the 6th calendar year after my claim has been processed by the FDRC through Mediation, Arbitration or otherwise.
7	I agree to inform the FDRC if, after this Application has been made, a claim against the FI has been lodged with the ICCB and/or legal proceedings against the FI have been commenced.
8	I agree to abide by the Terms of Reference of the FDRC.
9	I confirm that the information provided in this Application Form is true, complete and accurate.
Signature(s)	
Name	
Date	