

COMPLAINTS FORM

COMPLAINANT DETAILS:

Name: _____ Phone: _____

Address: _____

Email: _____

RESPONDENT DETAILS: *[Please complete as much information as possible]*

Name: _____ Position: _____

Organisation: _____ NZX Affiliation (if any): _____

COMPLAINT: *[please answer all questions in detail]*

What conduct do you complain about?

[Continue on a separate page, if necessary]

Have you suffered any financial loss?

[Continue on a separate page, if necessary]

How did the conduct you complain of cause your financial loss?

[Continue on a separate page, if necessary]

Have you raised this complaint with any other organisation? If so, what was the outcome?

[Continue on a separate page, if necessary]

Please list any relevant documents and attach copies, where available.

[Continue on a separate page, if necessary]

DISCLOSURE:

Do you consent to the disclosure of your name and the details of this complaint (including this complaint form) to the Respondent? If not, please provide details of the information you do not want disclosed.

Yes No

Details _____

Signature: _____ Date: _____

FOR OFFICE USE ONLY:

Type: Market Participant: Adviser: Issuer:

Status: Matter Open: Matter Closed:

NZX Contact/s: