

## **FDRS** Application Form (Individuals / Sole Proprietors)

Fir	nancial Dispute nancial Dispute oplication Form	<b>Resolution S</b>		Our Ref: Date Received: (For FDRC's Official Use Only)
Plec	ase put a " $$ "in $\square$ wi	here appropriate.		
I.	Date of Application	n:		(dd/mm/yyyy)
II.	Particulars of App	olicant(s)	(1)	(2) (For joint-account only)
1	Name (* Delete where appro	opriate)	*Mr/Ms/Mrs/Miss	*Mr/Ms/Mrs/Miss
2	Identity Document (* Delete where appro		*HKID/Passport/Others (Please specify):	*HKID/Passport/Others (Please specify):
3	Telephone No.	☐ Home ☐ Office ☐ Mobile		
4	Fax No. (if any)			
5	Email Address (if a	ny)		
6	Correspondence Address			
7	Business Name (if	applicable)		
8	Business Registration (if applicable)	on Number		
III.	Particulars of the F	Financial Institut	tion (FI)	
1	Name of FI			
2	Contact Person			
3	Telephone No. of the	e Contact Person		
4	Address			



IV. Details of	f the Dispute
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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 [See Note (1)]	
5	Date of knowledge about monetary	
	loss [See Note (1)]	
6	Amount claimed	☐ HK\$
	[See Note (1)]	Other currencies:
[Noi	te (1): The FDRC may reject the Applicat	ion if the claim is made more than 24 months from the date of purchase of the
<i>C</i> :	usial mus dust / gamias on finat la sulladas	
лпан	nciai proauci / service or jirsi knowieage o	of loss and/or the amount exceeds HK\$1 million (including any interest on any
		currency equivalent, unless both Parties agree to submit Application for the
ато		currency equivalent, unless both Parties agree to submit Application for the
amo	unt alleged to be a loss) or the foreign exideration of FDRC under Intake Criteria	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]
amo cons	unt alleged to be a loss) or the foreign of sideration of FDRC under Intake Criteria  Actions taken in respect of the Disp	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]
amo	unt alleged to be a loss) or the foreign of sideration of FDRC under Intake Criteria.  Actions taken in respect of the Disp.  Have you lodged a written	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  oute  Yes. The date:
amo cons	unt alleged to be a loss) or the foreign of sideration of FDRC under Intake Criteria.  Actions taken in respect of the Disp.  Have you lodged a written complaint with the FI?	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]
amo cons	unt alleged to be a loss) or the foreign of sideration of FDRC under Intake Criteria.  Actions taken in respect of the Disp.  Have you lodged a written	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  oute  Yes. The date:
amo cons	unt alleged to be a loss) or the foreign of sideration of FDRC under Intake Criteria.  Actions taken in respect of the Disp.  Have you lodged a written complaint with the FI?	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  oute  Yes. The date:
amo cons	unt alleged to be a loss) or the foreign of sideration of FDRC under Intake Criteria.  Actions taken in respect of the Disp.  Have you lodged a written complaint with the FI?	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  oute  Yes. The date:
amo cons	unt alleged to be a loss) or the foreign of sideration of FDRC under Intake Criteria.  Actions taken in respect of the Disp.  Have you lodged a written complaint with the FI?	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  Dute  Yes. The date:  Please describe the complaint you have lodged:
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amo cons V. 1	Actions taken in respect of the Disp.  Have you lodged a written complaint with the FI?  [See Note (2)]	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  Dute  Yes. The date: Please describe the complaint you have lodged:  No  deal with a claim which has not been first handled by the relevant FI.]
v.	Actions taken in respect of the Disp Have you lodged a written complaint with the FI?  [See Note (2)]  The (2): FDRC does not have jurisdiction to the Has the FI responded to your	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  Dute  Yes. The date: Please describe the complaint you have lodged:  No  deal with a claim which has not been first handled by the relevant FI.]  Yes. The date:
amo cons  V.  1  [Not	Actions taken in respect of the Disp Have you lodged a written complaint with the FI?  [See Note (2)]  The (2): FDRC does not have jurisdiction to the Has the FI responded to your complaint in writing?	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  **Dute**    Yes. The date:   Please describe the complaint you have lodged:    No   deal with a claim which has not been first handled by the relevant F1.]    Yes. The date:   No
amo cons V. 1	Actions taken in respect of the Disp Have you lodged a written complaint with the FI?  [See Note (2)]  The (2): FDRC does not have jurisdiction to the Has the FI responded to your complaint in writing?  Has the FI offered any settlement /	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  Dute  Yes. The date: Please describe the complaint you have lodged:  No  deal with a claim which has not been first handled by the relevant FI.]  Yes. The date:
amo cons  V.  1  [Not	Actions taken in respect of the Disp Have you lodged a written complaint with the FI?  [See Note (2)]  The (2): FDRC does not have jurisdiction to the Has the FI responded to your complaint in writing?	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  **Dute**    Yes. The date:   Please describe the complaint you have lodged:    No   deal with a claim which has not been first handled by the relevant FI.]   Yes. The date:   No
amo cons  V.  1  [Not	Actions taken in respect of the Disp Have you lodged a written complaint with the FI?  [See Note (2)]  The (2): FDRC does not have jurisdiction to the Has the FI responded to your complaint in writing?  Has the FI offered any settlement /	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  **Dute**    Yes. The date:   Please describe the complaint you have lodged:    No   deal with a claim which has not been first handled by the relevant FI.]   Yes. The date:   No
amo cons  V.  1  [Not	Actions taken in respect of the Disp Have you lodged a written complaint with the FI?  [See Note (2)]  The (2): FDRC does not have jurisdiction to the Has the FI responded to your complaint in writing?  Has the FI offered any settlement /	currency equivalent, unless both Parties agree to submit Application for the for Extended Eligible Dispute.]  **Dute**    Yes. The date:   Please describe the complaint you have lodged:    No   deal with a claim which has not been first handled by the relevant FI.]   Yes. The date:   No

4	Any court act	ion has been taken?	Yes. The court file ref.:			
	[See Note (3)]		☐ Stay of the court proceedings			
			☐ Proper notification to the court			
			☐ Decided judgment			
			☐ No			
[No	te (3): FDRC (	does not have jurisdiction	on to handle a claim where there has been a decided	judgment in court		
proc	ceedings; or the	court has not ordered a s	tay of the proceedings or has not been provided with proper	r notification.]		
5	Have you loo	lged a complaint with	Yes. The file ref.:			
	the Insurance	e Complaints Bureau	□ No			
	(ICB)? [See N	lote (4)]				
[No:	te (4): FDRC do	es not have jurisdiction to	o handle a claim which is currently under the ICB's conside	eration.]		
6		lged a complaint with	Yes. The complaint file ref.:			
	the Hong	Kong Monetary	1			
	1	KMA) / Securities and	☐ No			
	Futures Com	mission (SFC)?				
VI.	Supporting	Documents	☐ Yes	☐ No		
	(copy only)		( set of documents, pages)			
<b>1</b> /11	I anguaga Dr	ofowon oog				
1	Written comn		Chinese English			
2	Mediation	numeation	Cantonese English	Putonghua		
	Mediation		Cantonese English	i utoligiiua		
VII	II. Application	Fee				
		TCC				
	\$200 -	□ By cash				
, <u> </u>			le to "Financial Dispute Resolution Centre"			
	\$200 on-refundable)		le to "Financial Dispute Resolution Centre" r/Telegraphic Transfer			
		☐ By cheque payab ☐ By Bank Transfer	r/Telegraphic Transfer			
		☐ By cheque payab ☐ By Bank Transfer	<u> </u>			
		☐ By cheque payab☐ By Bank Transfer (all bank charges	r/Telegraphic Transfer			
		☐ By cheque payab☐ By Bank Transfer (all bank charges  Account No:	r/Telegraphic Transfer  are to be borne by the remitting party)			
		☐ By cheque payab ☐ By Bank Transfer (all bank charges  Account No: Name: Finance	r/Telegraphic Transfer  are to be borne by the remitting party)  848-218731-838	Queen's Road		
		By cheque payab By Bank Transfer (all bank charges Account No: Name: Finance Bank: The H	r/Telegraphic Transfer  that are to be borne by the remitting party)  848-218731-838  cial Dispute Resolution Centre	Queen's Road		
		By cheque payab By Bank Transfer (all bank charges  Account No: Name: Finance Bank: The Finance	r/Telegraphic Transfer  are to be borne by the remitting party)  848-218731-838  cial Dispute Resolution Centre  Hongkong and Shanghai Banking Corporation Ltd, 1	Queen's Road		
		By cheque payab By Bank Transfer (all bank charges  Account No: Name: Finance Bank: The Harmonic Central	r/Telegraphic Transfer  are to be borne by the remitting party)  848-218731-838  cial Dispute Resolution Centre  Hongkong and Shanghai Banking Corporation Ltd, 1  al, Hong Kong			
		By cheque payab By Bank Transfer (all bank charges  Account No: Name: Finance Bank: The H Centra Swift Code: H Please notify us of	r/Telegraphic Transfer  are to be borne by the remitting party)  848-218731-838  cial Dispute Resolution Centre  Hongkong and Shanghai Banking Corporation Ltd, 1  al, Hong Kong  HSBC HK HHH KH			



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

The personal data provided by the Applicant under this Form is for the purpose of processing the dispute 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.

X. D	<b>Declaration</b>	n				
1.	☐ I/We	agree				
	☐ I/We do not agree					
	to give consent to the FDRC to provide the information in this Form to the FI.					
2.	I/We kno	ow that the application fee (HK\$200) is n	on-refundable even if my/our Application is not			
	successfu	ıl.				
3.	I/We agr	ree to cooperate with the personnel of the	FDRC by providing all relevant documents and			
	informati	on, when requested, including information the	nat may be personal data, for the FDRC to assess			
	whether t	the Application may be accepted under the FD	DRS administered by the FDRC. The consequence			
	of not pro	oviding some or all of the requested personal of	data may be that FDRC is unable to process my/our			
	Applicati	on.				
4.	I/We agre	ee that the information and personal data I/w	e have voluntarily provided in this Form is for the			
	purpose o	of processing my/our Application under the Ter	rms 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, provide	ed that the FDRC shall not use information which			
	reveals, o	or is likely to reveal, directly or indirectly, my/o	our identity(ies).			
5.	I/We am/are aware that I/we have the right to request access to and correction of my/our personal data					
	submitted for this Application and for processing the dispute under the FDRS. Formal requests under the					
	Personal	Data (Privacy) Ordinance should be submit	tted in writing to the Data Protection Officer at			
	the FDR	C at Room 408-409, 4/F, West Wing, Just	stice Place, 11 Ice House Street, Central, Hong			
	Kong.	Such personal data will be retained until the	end of the following calendar year after my/our			
	Applicati	on is rejected or until the end of the 6th cal-	endar year after the dispute has been processed by			
	FDRC th	rough Mediation, Arbitration or otherwise.				
6.	I/We agree	ee to inform the FDRC if, after this Applicati	on has been made, a claim against the FI has been			
	lodged w	ith the ICB and/or legal proceedings against th	e FI have been commenced.			
7.	I/We agre	ee to abide by the Terms of Reference of the FI	DRC.			
8.	I/We con	firm that the information provided in this Appl	ication Form is true, complete and accurate.			
Sign	nature(s)					
Nam	ne					
		(Applicant 1)	(Applicant 2- For joint-account only)			



### **FDRS Application Form (Small Enterprises)**

Financial Dispute Resolution Centre (FDRC)
Financial Dispute Resolution Scheme (FDRS)
Application Form (For Small Enterprises (SE))

Our Ref:
Date Received:
(For FDRC's Official Use Only)

Plea	Please put a " $$ "in $\square$ where appropriate.					
I.	Date of Application:		(dd	/mm/yyyy)		
II.	Particulars of Applic	cant				
1	Business Name [See N	Note (1)]				
2	Business Registration	No. [See Note (1)]				
3	Form of Business [Sec	e Note (1)]	☐ Partnership	☐ Limited Company		
4	Please indicate if it is within a group		☐ Yes, it is ☐ Subsidiary of a group ☐ No	☐ Parent company of a group		
See	Note (1) at the end of this	Application Form				
5	Contact Details	Telephone No. :				
		Fax No. :				
		Email Address :				
6	Name of the Contact	Person	*Mr/Ms/Mrs/Miss			
	(* Delete where approp	riate)				
7	Title of the Contact P	erson				
8	Correspondence Address					
III.	Particulars of the Fi	nancial Institution (F	I)			
1	Name of FI					
2	Contact Person					
3	Telephone No. of the C	Contact Person				
4	Address					



IV.	<b>Details</b>	of the	Dispu	te

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	
	[See Note (2)]	
5	Date of knowledge about monetary loss	
	[See Note (2)]	
6	Amount claimed	☐ HK\$
	[See Note (2)]	
		Other currencies:
finai amo	ncial product / service or first knowledge of loss a	e claim is made more than 24 months from the date of purchase of the nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the add Eligible Dispute.]
finai amo	ncial product / service or first knowledge of loss a ount alleged to be a loss) or the foreign currenc	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the
finat amo cons	ncial product / service or first knowledge of loss a bunt alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Exten	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the
fination amo cons	ncial product / service or first knowledge of loss a bunt alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extended Actions taken in respect of the Dispute	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]   Yes. The date:
fination amo cons	ncial product / service or first knowledge of loss a bunt alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extended Actions taken in respect of the Dispute  Have you lodged a written complaint with	nd/or the amount exceeds HK\$1 million (including any interest on any equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]
fination amo cons	ncial product / service or first knowledge of loss a count alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extension Actions taken in respect of the Dispute  Have you lodged a written complaint with the FI?	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]   Yes. The date:
fination amo cons	ncial product / service or first knowledge of loss a count alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extension Actions taken in respect of the Dispute  Have you lodged a written complaint with the FI?	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]   Yes. The date:
fination amo cons	ncial product / service or first knowledge of loss a count alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extension Actions taken in respect of the Dispute  Have you lodged a written complaint with the FI?	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]   Yes. The date:
fination amo cons	ncial product / service or first knowledge of loss a count alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extension Actions taken in respect of the Dispute  Have you lodged a written complaint with the FI?	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the edded Eligible Dispute.]  Yes. The date:  Please describe the complaint you have lodged:
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V.  [Not	ncial product / service or first knowledge of loss a bunt alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extensideration of the Dispute  Actions taken in respect of the Dispute  Have you lodged a written complaint with the FI?  [See Note (3)]	Ind/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the edded Eligible Dispute.]  Yes. The date:  Please describe the complaint you have lodged:  No  h a claim which has not been first handled by the relevant FI.]
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V.  I Note 2	ncial product / service or first knowledge of loss a punt alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extensideration of FDRC under Intake Criteria for Extensideration of FDRC under Intake Criteria for Extension of FDRC under Intake Criter	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]  Yes. The date: Please describe the complaint you have lodged:  No h a claim which has not been first handled by the relevant FI.]  Yes. The date: No
V.  I Note 2	ncial product / service or first knowledge of loss a punt alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extensideration of FDRC under Intake Criteria for Extensideration of FDRC under Intake Criteria for Extension of FDRC under Intake Criter	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]  Yes. The date: Please describe the complaint you have lodged:  No h a claim which has not been first handled by the relevant FI.]  Yes. The date: No
V.  I Note 2	ncial product / service or first knowledge of loss a punt alleged to be a loss) or the foreign currency sideration of FDRC under Intake Criteria for Extensideration of FDRC under Intake Criteria for Extensideration of FDRC under Intake Criteria for Extension of FDRC under Intake Criter	nd/or the amount exceeds HK\$1 million (including any interest on any y equivalent, unless both Parties agree to submit Application for the ided Eligible Dispute.]  Yes. The date: Please describe the complaint you have lodged:  No h a claim which has not been first handled by the relevant FI.]  Yes. The date: No
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4	Any court action has been taken?			☐ Yes. The court file ref.:					
	[See Note (4)]				☐ Stay of the court proceedings				
					Proper notification to the court				
					Decided judgment				
					No				
[No	te (4): FDRC do	es not have juris	diction to handle	a cla	iim whe	re there has b	peen a decided	judgment	in court proceedings;
		·	f the proceedings				·		•
5	Have you lo	odged a comp	plaint with the		Yes. 7	The file ref.:			
	Insurance Co	mplaints Burea	u (ICB)?						
	[See Note (5)]				No				
[No	te (5): FDRC do	es not have juris	diction to handle	a cla	im whic	h is currently	under the ICB	's consider	ration.]
6	1		plaint with the		Yes. 7	The complain	nt file ref.:		
		•	ority (HKMA) /		No				
	Securities and	1 Futures Comr	mission (SFC)?		110				
									T_
VI.	<b>Supporting D</b>	ocuments	Yes (	S	et of do	ocuments,	pages)		□ No
	(copy only)		Note (6): Pleas	e refe	refer to Note (1) at the end of this Application Form and provide the				
			relevant docum	ents f	or FDR	C to verify the	e SE qualificati	ion.	
VII	. Language Pr	references							
1	Written comm	nunication	Chine	se			English		
2	Mediation		☐ Canto	nese			English	[	Putonghua
VII	I. Application	Fee							
	\$200	☐ By cash							
(No	on-refundable)	☐ By cheau	e pavable to "Fi	inanc	ial Dis	pute Resolut	tion Centre"		
	By cheque payable to "Financial Dispute Resolution Centre"								
	By Bank Transfer/Telegraphic Transfer								
	(all bank charges are to be borne by the remitting party)								
	Account No: 848-2187				-838				
	Name: Financial Dispu			oute l	Resolut	ion Centre			
Bank: The Hongkong			g and	d Shan	ghai Bankir	ng Corporatio	n Ltd, 1	Queen's Road	
	Central, Hong I				_				
			Code: HSBC H						
			otify us once pa					transfer /	/ remittance by
		email <u>fdr</u>	<u>c@fdrc.org.hk</u>	or <b>by</b>	fax + 8	52 2565 866	<i>5</i> 2.		



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

The personal data provided by the Applicant and its representatives (collectively known as "We" in the **Declaration** below) under this Form is for the purpose of processing the dispute 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.

#### X. Declaration

1.	☐ We agree
	☐ We do not agree
	to give consent to the FDRC to provide the information in this Form to the FI.
2.	We know that the application fee (HK\$200) is non-refundable even if our Application is not successful.
3.	We declare that we are a Small Enterprise as defined under the Terms of Reference of the FDRC. We
	authorise FDRC to verify with the relevant FI for our Small Enterprise qualification and also authorise the FI
	to provide information to the FDRC with or without request by the FDRC as to our Small Enterprise
	qualifications. We agree that the decision by the FDRC as to whether we are a Small Enterprise is final and
	conclusive and the FDRC does not need to provide explanation.
4.	We acknowledge that the FDRC reserves the right at its full discretion, to discontinue considering the
	Application or the FDRC procedures with immediate effect if it comes to the knowledge of the FDRC
	anytime that the Applicant or Eligible Claimant is not a Small Enterprise as defined under the Terms of
	Reference of the FDRC.
5.	We 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 FDRS administered by the FDRC. The consequence of not
	providing some or all of the requested personal data may be that FDRC is unable to process our Application.
6.	We agree that the information and personal data we have voluntarily provided in this Form is for the purpose
	of processing our 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, our identities.
7.	We are aware that we have the right to request access to and correction of our personal data submitted for this
	Application and for processing the dispute under the FDRS. Formal requests under the Personal Data
	(Privacy) Ordinance should be submitted in writing to the Data Protection Officer at the FDRC at Room
	408-409, 4/F, West Wing, Justice Place, 11 Ice House Street, Central, Hong Kong. Such personal data will be
	retained until the end of the following calendar year after our Application is rejected or until the end of the 6th
	calendar year after the dispute has been processed by FDRC through Mediation, Arbitration or otherwise.
8.	We agree to inform the FDRC if, after this Application has been made, a claim against the FI has been lodged
	with the ICB and/or legal proceedings against the FI have been commenced.
9.	We agree to abide by the Terms of Reference of the FDRC.
10.	We confirm that the information provided in this Application Form is true, complete and accurate.



#### XI. Consent to disclosure by FI

To: FI

We agree that the FI may provide information relating to our entity or persons connected to our entity to the FDRC in relation to this Application (including, without limitation, our Small Enterprise qualifications) and the FDRC dispute resolution.

(Please provide the name and		
title of the person who signs in		
Block Letters)		
	(Name and Title)	(Name and Title)
Signature(s) for and on		
behalf of the Applicant		
(stamped with company chop)		
	(Signature)	(Signature)

[Note (1):- 'SE' means a Small Enterprise, being a limited company or a partnership, whose status are as follows according to its latest financial year end statement:

- (i) an annual turnover not exceeding HK\$50 million;
- (ii) gross assets not exceeding HK\$50 million; and
- (iii) not more than 50 employees in Hong Kong.

If a limited company is a subsidiary company or a holding company (in accordance with the definitions used in the Companies Ordinance (Cap. 622)) within a group, the group's consolidated figures will be used.

Group means any 2 or more bodies corporate one of which is the holding company of the other or others. (Cap. 622 Companies Ordinance)

For limited companies, please provide the following:

- (i) certified true copy of Business Registration Certificate and NAR1 form of the Company Registry;
- (ii) certified true copy of MPF or employee insurance statement;
- (iii) audited financial statement; and
- (iv) other information as deemed appropriate by the Applicant.

For partnerships, please also provide:

- (i) certified true copy of Business Registration Certificate and Business Registration Form of the Inland Revenue Department;
- (ii) certified true copy of MPF or employee insurance statement;
- (iii) audited or certified financial statement; and
- (iv) other information as deemed appropriate by the Applicant.

For overseas companies and other variations, documents of equivalent effect and/or professional certifications to prove the meeting of the criteria are required to be submitted.]



# **FDRS Application Form (Financial Institutions)**

Our Ref:
Date Received:
(For FDRC's Official Use Only)

Financial Dispute Resolution Centre (FDRC) Financial Dispute Resolution Scheme (FDRS)			(For FDRC's Official Use Only)
_	<b>oplication Form</b> or Financial Institution ("FI	") Claim / FI Counterclaim and/o	or a Claim of its Customers)
Plea	ase put a " $\sqrt{}$ "in $\square$ where appropri	iate.	
I.	Date of Application:		(dd/mm/yyyy)
II.	Particulars of Applicant (FI)		
1	Business Name		
2	Contact Details	Contact Person 1	Contact Person 2 (if any)
	Name of Contact Person (* Delete where appropriate)	*Mr/Ms/Mrs/Miss	*Mr/Ms/Mrs/Miss
	Title of Contact Person		
	Telephone No.		
	Fax No.		
	Email Address		
	Correspondence Address		
III.	Particulars of the customer(s)	with consent	
	[See Note (1)]	signed consent by the	customer attached (Annex X)
		(1)	(2) (For joint-account only)
1	Name of the customer(s)  (* Delete where appropriate)	*Mr/Ms/Mrs/Miss or a company	*Mr/Ms/Mrs/Miss or a company
2	Contact Person		
	(if the customer is a company)		
3	Telephone No. of the Contact Person		
4	Correspondence Address		



1	NI-4	1			
1	Nature of claim and amount in		(a) Claim of a	(b) FI claim against	(c) FI counterclaim
	,	Please provide	customer against FI	its customer	in relation to a claim
		for each claim.)			by its customer
	[See Note (1)]				
	Amount	☐ HK\$			
	claimed	Other			
		currencies			
INo	te (1): Please n		f a customer of an FL an	 FL claim or an FL counters	claim (provided that the FI
					by the FDRC, and it may or
	_			_	from the customer) can be
-				Terms of Reference of the F1	
			The Farites pursuant to the	Terms of Reference of the F1	JKC.J
2		financial service			
		he dispute arises			
	(e.g. financial product,				
	service, or advice about a				
	financial product or service				
	provided by o	or via an FI)			
3	Name of	the financial			
	product(s) inv	volved			
4	Reference or Account No.				
7	Reference of A	recount 140.			
5	Date of pu	archase of the			
	financial proc	duct or rendering			
	of the service.	/ advice			
6	Date of kr	nowledge about			
	monetary loss	-			
V.	V. Actions token in respect of the Dispute				
	V. Actions taken in respect of the Dispute  (a) Claim of a customer against FI (To fill in if applicable)				
1		Form signed by	 I	Form (For Individuals / S	ole Proprietors)
1	the customer		_	e Terms of Reference)	oic rropriciois)
	ane customer	anacheu.		•	cos(SE))
				Form (For Small Enterpri	ses(SE))
			(Annex III-B of the	e Terms of Reference)	



(b) FI claim against its customer (To fill in if applicable)				
1	Have FI lodged a claim	□ No		
	request to its customer?	Yes. The date:		
		The amount in disput	e:	
		Please describe in separa	te sheet(s) or attach a cop	py of documents related
		to the complaint.		
2	Has the customer responded	□ No		
	to FI's request?	Yes. The date:		
		Please describe in separat	te sheet(s) or attach a copy	y of the response.
(c) FI counterclaim against its customer (To fill in if applicable)				
1	Have FI lodged a	□ No		
	counterclaim request to its	☐ Yes. The date:		
	customer?	The amount in disput	e:	
		Please describe in separa	te sheet(s) or attach a cop	py of documents related
		to the complaint.		
2	Has the customer responded \[ \sum_{No} \]			
	to FI's request?	Yes. The date:		
		Please describe in separat	te sheet(s) or attach a copy	y of the response.
Court action(s), if any, for the above claim(s)  No Yes, please fill in below.				
If court action has been taken,		(a) Claim of a customer	(b) FI claim against its	(c) FI counterclaim in
please provide information.		against FI	customer	relation to a claim by
[See	e Note (2)]			its customer
1	The court file ref.:			
2	(i) Stay of the court proceedings; or			
	(ii) Proper notification to the court; or			
	(iii) Decided judgment			
[No	[Note (2): FDRC does not have jurisdiction to handle a claim where there has been a decided judgment in court			
proceedings; or the court has not ordered a stay of the proceedings or has not been provided with proper notification.]				
Insurance Complaints Bureau (ICB)  Yes. The file ref.:				
Have the customer lodged a complaint with the ICB? [See Note (3)] \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \			□ No	
[No	[Note (3): FDRC does not have jurisdiction to handle a claim which is currently under the ICB's consideration.]			

Yes		
( set of documents, pages)		
Chinese English		
Cantonese English Dutonghua		
☐ By cash		
yable to "Financial Dispute Resolution Centre"		
fer/Telegraphic Transfer		
tes are to be borne by the remitting party)		
848-218731-838		
Name: Financial Dispute Resolution Centre		
Hongkong and Shanghai Banking Corporation Ltd, 1 Queen's Road		
l, Hong Kong		
Swift Code: HSBC HK HHH KH		
Please notify us once payment has been made with proof of transfer / remittance by		
<u>org.hk</u> or by fax +852 2565 8662.		
Data		
oplicant and its representatives (collectively known as "We" in the		
<b>Declaration</b> below) under this Form is for the purpose of processing the dispute 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.		
vide the information in this Form to the customer.		



3.	We acknowledge that the FDRC reserves the right at its full discretion, to discontinue considering the			
	Application or the FDRC procedures with immediate effect if it comes to the knowledge of the FDRC			
	anytime that the customer is not an Eligible Claimant as defined under the Terms of Reference of the			
	FDRC.			
4.	We agree to cooperate with the personnel of the FDRC by providing all relevant documents and			
	information, when requeste	ed, including information that may be personal data, for the FDRC to assess		
	whether the Application ma	ay be accepted under the FDRS administered by the FDRC. The consequence		
	of not providing some or a	all of the requested personal data may be that FDRC is unable to process our		
	Application.			
5.	We agree that the information	tion and personal data we have voluntarily provided in this Form is for the		
	purpose of processing our	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 revea	l, directly or indirectly, our identities.		
6.	We are aware that we have	the right to request access to and correction of our personal data submitted for		
	this Application and for pro	ocessing the dispute under the FDRS. Formal requests under the Personal Data		
	(Privacy) Ordinance should be submitted in writing to the Data Protection Officer at the FDRC at			
	Room 408-409, 4/F, West	Wing, Justice Place, 11 Ice House Street, Central, Hong Kong. Such personal		
	data will be retained until the end of the following calendar year after our Application is rejected or until			
	the end of the 6th calendar	year after the dispute has been processed by FDRC through Mediation,		
	Arbitration or otherwise.			
7.	We agree to inform the FD	RC if, after this Application has been made, a claim has been lodged with the		
	ICB and/or legal proceeding	gs have been commenced.		
8.	We agree to abide by the Te	erms of Reference of the FDRC.		
9.	We confirm that the information provided in this Application Form is true, complete and accurate.			
(Ple	ase provide the name and			
title	of the person who signs in			
Bloc	ck Letters)			
		(Name and Title)		
Sign	nature(s) for and on			
	alf of the Applicant			
(stamped with company chop)				
		(Signature)		