**COMPLAINT FORM**

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| **Personal Details**  Title Mr. Ms.  First Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Middle Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Last name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Citizenship \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Civil Status \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Phone Number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Alternate Phone Number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  E-mail Address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Fax Number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  You are a/an Investor Employee of a Trading Participant  Trading Participant Others (specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_    **The Party You Have a Complaint Against**  Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Type (if a firm) Head Branch    **Your Complaint**  Attach your letter-complaint to this form, together with all the relevant documents. Provide as much detail as possible, which, if applicable, may include the holders and or beneficial owners of the account/s, nature of the account/s, the pertinent transaction/s or correspondence/s and the dates thereof, the number of shares involved, the stock certificate number/s and endorsement/s, and the names of all the people at the firm you have contacted about your grievance.  **Action/s You May Have Taken**  Have you complained to the firm? Yes No  If yes, to whom? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  What was their response? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Have you taken legal action? Yes No  If so, what type? Mediation  Arbitration  Court Action  Other (specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Describe the details of the legal action you have taken (which may include the date of filing/commencement, the venue, the presiding officer, the subject matter, the parties, the issue/s, the relief/s prayed for, and the actions taken, if any.) |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature over printed name / Date

**PRIVACY NOTICE**

The Capital Markets Integrity Corporation (“CMIC”) will collect, record, retain, use, store, disclose, and process your personal information for the purpose of processing your complaint. Personal information refers to any information whether recorded in a material form or not, from which the identity of an individual is apparent or can be reasonably and directly ascertained by the entity holding the information, or when put together with other information would directly and certainly identify an individual. The personal information that CMIC will collect, record, retain, use, store, dispose, disclose, and process pertains to your name, signature, residential and email addresses, citizenship, fax, phone and alternate numbers. You have the rights of the data subject provided under Section 16 of the Data Privacy Act such as the right to be informed of the processing of your information, rights to access, correct or rectify, object, erasure or blocking, data portability, file complaint, and right to damages. Your personal information may also be required to be disclosed to external parties such as the external auditor or regulators for audit or compliance purposes. You should be aware that there are risks involved in the processing of your personal information. For the safeguards adopted to protect your personal information, kindly visit our website [www.cmic.com.ph](http://www.cmic.com.ph) for the Privacy Policy. To update, correct or access your personal information, you may contact the CMIC at [dataprivacy@cmic.com.ph](mailto:dataprivacy@cmic.com.ph) or our Data Protection Officer at the said email address for any concern.

**CONSENT**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, do state that I hereby:

Authorize or consent to the collection, recording, retention, use, storage, updating, modification, disposal, and processing by CMIC of my personal information provided by me in the Complaint Form filed with CMIC for the purpose of processing my complaint and all other legitimate purposes that are necessary or incidental to the said purpose;

Authorize or consent to the (a) disclosure by CMIC of my personal information to third parties such as the CMIC external auditor and regulators for audit and compliance purposes, respectively, (b) processing by third parties of my personal information, and (c) storage and retention by CMIC of my personal information throughout the period allowed by law, the rules and regulations, and policies of CMIC;

Acknowledge and agree that CMIC has put in place appropriate organizational, physical, and technical security measures to protect my personal information. I am also aware that notwithstanding the said privacy protection measures that have been put in place by CMIC, there is a risk that my personal information may be subject to unauthorized disclosure, processing or breach. I agree to hold CMIC, its directors, officers, employees, and agents, free and harmless from any damage, loss, liability or injury that I may suffer on account of any unauthorized disclosure, processing or breach of my personal information, provided that there is no bad faith or gross negligence on the part of CMIC or any of its officers or employees or agents who directly process my personal information.

IN WITNESS WHEREOF, I have set my hand this \_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_, 20\_\_, in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed name and signature