

The Hong Kong Chartered Governance Institute Complaint Form

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| To: Chief Executive, the HKCGI | PRIVATE AND CONFIDENTIAL |
| <p>You may submit this Complaint Form to Chief Executive, The Hong Kong Chartered Governance Institute by the below means:</p> <p>(a) By post to the HKCGI's address at 3/F, Hong Kong Diamond Exchange Building, 8 Duddell Street, Central, Hong Kong and mark 'Private and Confidential' on the envelope; or (b) By email to ce@hkcgi.org.hk; or (c) In-person.</p> | |

A. Details of the HKCGI member/graduate/student against whom you wish to lodge a complaint:

1. Name of HKCGI member/graduate/student _____
2. Name of Company _____
3. Position _____
4. Office Address _____
5. Contact number _____
6. Email address _____
7. The relationship of the HKCGI member to the complainant

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|--|--|
| <input type="checkbox"/> Company Secretary | <input type="checkbox"/> Accountant |
| <input type="checkbox"/> Auditor | <input type="checkbox"/> Employee |
| <input type="checkbox"/> Not related | <input type="checkbox"/> Other, please specify _____ |

B. Complainant's Information

1. Name (Mr. / Mrs. / Ms.) _____
2. I am acting on behalf of:-

Company name _____
 Position _____
3. Address _____
4. Contact number _____
5. Email Address _____
6. I am a member of HKCGI

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| <input type="checkbox"/> Yes, my membership no. _____ |
| <input type="checkbox"/> No (if attaining other professional qualification, please specify): _____ |
7. Do you want to keep your identity confidential?

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| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
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C. Details of the Complaint

1. Nature of the complaint:

(Note: Fees or other commercial disputes are outside the jurisdiction of HKCGI)

- ☐ Non-compliance of Articles of Association of HKCGI
- ☐ Non-compliance of Charter and Byelaws of The Chartered Governance Institute ('CGI') (formerly known as The Institute of Chartered Secretaries and Administrator or ICSA)
- ☐ Non-compliance of performance and misconduct under the HKCGI Code of Professional Ethics and Conduct
- ☐ Breach of confidentiality
- ☐ Breach of statutory rules and regulations
- ☐ Not safeguard the interests of employers/ colleagues/ clients
- ☐ Involved in illegal or unethical activities
- ☐ Misbehaviors which affect the reputation, status, interest of HKCGI
- ☐ Criminal conviction involved dishonesty
- ☐ Others: _____

2. Have you also put forward this complaint about this member/graduate/student to other authorities?

- ☐ Yes. The Outcome is: ☐ No

3. Please describe your complaint(s) :

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

4. Provision of relevant documents to support your complaint(s)

| Date (in chronological order) | Description of event | Supporting document attached (Appendix A, B, C etc.) |
|----------------------------------|----------------------|---|
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5. If required, I am prepared to appear and give evidence at any meeting or hearing relevant to this complaint(s) conducted by HKCGI.

☐ Yes ☐ No. The reason is: _____

D. Statement on Collection of Personal Data

- (i) Your supply of personal data to The Hong Kong Chartered Governance Institute ("HKCGI") is on a voluntary basis. However, failure to provide any requested personal data may render HKCGI unable to perform its contemplated functions, and/or the delivery of goods and services to you.
- (ii) The information provided by you to HKCGI will be used by HKCGI for the purposes of performing its contemplated functions under the provisions of the Charter and Byelaws of The Chartered Governance Institute and the Articles of Association of HKCGI (collectively "the Rules") for the time being in force including without limitation to membership, graduateship, studentship and/or stakeholder administration, activities and/or communications; registrations, examinations, assessments of qualifications and/or experiences; Continuing Professional Development ("CPD") programmes; research and/or analysis; members', graduates' and/or students' benefits; promotion of events supported by HKCGI and/or other functions and activities; the delivery of other goods or services; enforcement of compliance and/or discipline relating to non-compliance of the Rules; and for any other legitimate purposes as may be required, authorised or permitted by law, regulations or judicial orders.
- (iii) The information provided by you herein may be made available to the related companies or associates, group sister associations, agents, contractors, universities, business associates or service providers of HKCGI or other professional bodies or government bodies or regulators, as may be necessary for any of the above purposes.
- (iv) Apart from the purposes stated above, your personal information will not be transferred to any other parties, unless such parties are authorised by law and request the information.
- (v) HKCGI provides members/graduates/students with the choice of opting out from the receipt of marketing/promotional materials from HKCGI. You can opt out or opt in at any time from receiving such materials by emailing to unsubscribe@hkcg.org.hk with your request.
- (vi) Under the Personal Data (Privacy) Ordinance ("PDPO"), you have a right to request access to and correction of your personal data. Such requests may be made in writing to our Data Protection Officer at 3/F, Hong Kong Diamond Exchange Building, 8 Duddell Street, Central, Hong Kong or by email to us at privacyofficer@hkcg.org.hk.
- (vii) HKCGI is committed to protecting the privacy, confidentiality and security of the personal information by complying with the requirements of the PDPO. We have established a policy for the handling and management of personal data which is accessible at HKCGI's website, i.e. www.hkcg.org.hk.

E. Important Notes

1. All complaints should be lodged by completing, signing and submitting this Form (M017).
2. All complaints should be handled by the HKCGI on strictly private and confidential basis.
3. Complainants can provide the details and descriptions of complaint by separate sheets.
4. A valid complaint must be supported by evidence that is sufficient to show the possibility of improper acts or breaches of professional conduct committed by the HKCGI members. Unsubstantiated allegations CANNOT be processed.
5. For more information about the HKCGI's discipline policy and procedures, please visit the HKCGI's website at www.hkcgi.org.hk.

F. Authorisation and Declaration

1. I authorise the HKCGI to forward a copy of this complaint(s) and any other information provided by me from time to time to the member against whom this complaint is made.
☐ Yes ☐ No. The reason is: _____
2. I agree that I will, to the best of my knowledge, provide information necessary for the HKCGI disciplinary process in respect of this complaint(s).
☐ Yes ☐ No. The reason is: _____
3. To the best of my knowledge, I declare that the information included and attached to this complaint form is true and complete.

Surname _____

Other Name _____

Position/ Title _____

Company _____

By my signature below, I have read, understood and agreed to the above.

Signature of Complainant _____

Name of Complainant _____

Date of Complaint _____

FOR OFFICE USE ONLY

Handled on: _____ by _____

Notification email sent on: _____ Reply sent on: _____