**COMPLAINTS FORM**

Please complete this form and attach any supporting documentation and send via one of the options below:

NZ RegCo

Chief Executive Officer

PO Box 2959

WELLINGTON

Email: [issuer@nzregco.com](mailto:issuer@nzregco.com) (Listed Issuer Complaint)

[participant@nzregco.com](mailto:participant@nzregco.com) (Participant Complaint)

**YOUR DETAILS:**

Name:

Phone:

Company (if applicable):

Address:

Email:

**DETAILS OF ISSUER OR PARTICIPANT YOU ARE COMPLAINING ABOUT:**

Name:

Position:

Organisation:

**COMPLAINT: *[please answer all questions with as much detail as possible]***

|  |
| --- |
| What conduct would you like to complain about?  **[Continue on a separate page if necessary]** |

|  |
| --- |
| Have you suffered any financial loss as a result of this conduct?  **[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 the Issuer/Participant, or with any other organization (e.g. the Financial Markets Authority, Takeovers Panel)? 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 sheet if necessary]** |

**DISCLOSURE:**

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

**Yes No**

**Details**

Signature: Date:

**FOR OFFICE USE ONLY:**

**FOR OFFISE USE ONLY:**

**Type: Market Participant: Adviser: Issuer:**

**Status: Matter Open: Matter Closed:**

**NZX Contact/s:**