**Complaint Form**

Should you need to submit a complaint about a credit rating agency supervised by ESMA, please fill in this form.

ESMA can best consider your complaint if it receives detailed and complete information.

EMAIL: please send the completed form to CRA-info@esma.europa.eu. In the email subject line, you should put “Complaint about credit rating agency”.

POST: please put your complaint in a blank envelope marked as confidential, and include it in a second envelope. The envelope should be sent to the following address:

European Securities and Markets Authority

Credit Rating Agency Unit

201-203 rue de Bercy, 75012 Paris – France

Upon the reception of your complaint, an acknowledgement of receipt with a number assigned to your complaint will be sent to you. Please keep this reference number for further contacts with ESMA. ESMA may contact you, should additional information be needed.

Please note that all information that is acquired by ESMA in this complaint will be considered confidential, except where ESMA states at the time of the communication that such information may be disclosed or where such disclosure is necessary for legal proceedings. In addition and without prejudice to Article 32 of Regulation (EC) No 1060/2009, ESMA may be also entitled to exchange information with certain other public authorities.

Please also note that the information contained in the complaint provided by you may be subject to a request for access to documents pursuant to Regulation (EC) No 1049/2001. ESMA may consult you if such a request is received. Any decision of ESMA not to disclose the complaint may be the subject of a complaint to the Ombudsman or of proceedings before the Court of Justice of the European Union, following an appeal to the Board of Appeal, as appropriate, in accordance with the conditions laid down in Articles 228 and 263 of the Treaty on the Functioning of the European Union respectively.

The information provided by you might form part of the file referred to in Article 23e of Regulation (EC) No 1060/2009.

For this purpose, if you consider any information in your complaint to constitute business secrets, please mark it clearly in your complaint form.

Any personal data processed in this context will be processed in compliance with the requirements laid down in Regulation (EU) 2018/1725.

Further and more detailed information regarding the processing of your personal data can be found on the [ESMA website](https://www.esma.europa.eu/about-esma/governance-structure/legal-notice-data-protection).

For any additional question on the processing of your personal data, please contact the Data Protection Officer at ESMA (dpo@esma.europa.eu).

**Name of the organisation on behalf of which you are submitting this complaint:**

**Address:**

**Main area in which your organisation works:**

[ ]  Asset management;

[ ]  Audit/Legal/Consultant;

[ ]  Banking;

[ ]  Insurance/Pension;

[ ]  Market infrastructure;

[ ]  Non-financial corporate;

[ ]  Public Authority;

[ ]  Private sector: (*please specify*) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[ ]  Other: (*please specify*) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Relationship with the credit rating agency:**

[ ]  Rated entity;

[ ]  User of credit ratings;

[ ]  User of other services provided by the credit rating agency;

[ ]  Other: (*please specify*) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Your Name, position and contact details in the organisation [[1]](#footnote-1):**

Name and title:

Tel:

E-mail:

**About which credit rating agency / agencies are you complaining?**

**Subject matter:**

**The content of your complaint**:

**You can attach documents to your complaint, such as contracts, letters or other to help us better understand your complaint.**

|  |  |
| --- | --- |
| **Document No.** | **Document title** |
| **1** |  |
| **2** |  |
| **4** |  |
| **5** |  |

*(please add more lines to the table if needed)*

**Complainant signature**

[ ]  By ticking in this box, I submit my complaint for ESMA’s consideration and I confirm that all the information that I have provided is true and accurate to the best of my knowledge.

1. Please note that your name and contact details will only be used by ESMA staff to communicate with you regarding your complaint. [↑](#footnote-ref-1)