

# Stockbroking disputes 2015-16

<b>Stockbroking disputes 2015-16</b>	<b>Issue Count*</b>	<b>Dispute Count</b>	<b>%</b>
<b>Number of disputes received</b>		203	
<b>Number of disputes accepted</b>		147	
<b>Number of disputes closed (Incl. Registration disputes)</b>		176	
<b>Top 3 products for the disputes accepted</b>			
<i>Shares</i>	79		50%
<i>Mixed Asset Fund/s</i>	30		19%
<i>Self-Managed Funds</i>	17		11%
<b>Top 3 issue types for the disputes accepted</b>			
<i>Advice</i>	71		45%
<i>Instructions</i>	26		16%
<i>Service</i>	25		16%
<b>Top 3 issues for the disputes accepted</b>			
<i>Inappropriate advice</i>	46		29%
<i>Failure to act in client's best interests</i>	18		11%
<i>Failure to follow instructions/agreement</i>	16		10%
<b>Outcomes for closed disputes (Incl. Registration disputes)</b>			
<i>Resolved by FSP</i>		79	45%
<i>Outside Terms of Reference</i>		41	23%
<i>Discontinued</i>		19	11%
<i>Negotiation</i>		9	5%
<i>Decision in Favour of FSP</i>		7	4%
<i>Preliminary View in Favour of FSP</i>		6	3%
<i>Decision in Favour of Applicant</i>		5	3%
<i>Assessment</i>		4	2%
<i>Conciliation</i>		4	2%
<i>Preliminary View in Favour of Applicant</i>		2	1%
<b>Grand Total</b>		<b>176</b>	

\*Note: The total number of disputes accepted by product/issue is greater than the number of disputes accepted by dispute count. This is due to some disputes involving multiple products/issues.