

# SELF-CERTIFIED SOPHISTICATED INVESTOR

Member Name:

Scheme Number:

I declare that I am a self-certified sophisticated investor for the purposes of the Financial Services and Markets Act 2000, Financial Promotions Order 2001 restriction on the promotion of non-mainstream pooled investments. I understand this means:

- (a) (i) I can receive promotional communications made by a person who is authorised by the Financial Conduct Authority ("FCA") which relate to investment activity in non-mainstream pooled investments;
- (a) (ii) the investments to which the promotions will relate may expose me to a significant risk of losing all of the property invested.
- (b) The content of such financial promotions may not conform to the rules that apply to FCA regulated financial instruments
- (c) By signing this statement I may lose significant rights, for example the right to;
  - (i) complain to the FCA
  - (ii) complain to the Financial Ombudsman Service, or
  - (iii) complain and seek compensation from the Financial Services Compensation Scheme.

**I am a self-certified sophisticated investor because at least one of the following applies:**

I am a member of a network or syndicate of business angels and have been so for at least the last six months prior to the date below;

I have made more than one investment in an unlisted company in the two years prior to the date below;

Please give details of the investment

I am working, or have worked in the two years prior to the date below, in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises;

I am currently, or have been in the two years prior to the date below, a director of a company with an annual turnover of at least £1 million.

**I accept that the investments to which the promotions will relate may expose me to a significant risk of losing all of the money or other property invested.** I am aware that it is open to me to seek advice from an authorised person who specialises in advising on non-mainstream pooled investments.

Signed:

Date:

## Investment Manager or Financial Adviser

I certify that I have carried out the relevant checks and have suitably certified the above named client as a High Net Worth individual.

Print Name:

Date:

Signed:

FCA Ref:

Company Name:

**Please return completed form to:**

Hartley Pensions Ltd, 5th Floor, 25 Marsh Street, Bristol, BS1 4AQ. Authorised and regulated by the Financial Conduct Authority 735936 and registered in England and Wales 09469576. T:0117 316 9991 E: admin@hartleypensions.co.uk W: www.hartleypensions.com

