

# Statement for Self-certified Sophisticated Investor

I hereby declare that I am a self-certified sophisticated investor for the purposes of both the Financial Services and Markets Act 2000 (Financial Promotion) Order 2001 ("Financial Promotion Order") and the Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001 ("CIS Exemptions Order").

I understand that in relation to the Financial Promotions Order this means:

- (a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Services Authority;
- (b) the Content of such financial promotions may not conform to rules issued by the Financial Services Authority;
- (c) **by signing this statement I may lose significant rights;**
- (d) I may have no right to complain to either of the following-
  - I. the Financial Services Authority; or
  - II. the Financial Ombudsman Scheme;
- (e) I may have no right to seek compensation from the Financial Services Compensation Scheme.

I understand that in relation to the CIS Exemptions Order this means:

- I. I can receive promotions, made by a person who is authorised by the Financial Services Authority, which relate to units in unregulated collective investment schemes that invest wholly or predominantly in unlisted companies
- II. the schemes to which the promotions will relate are not authorised or recognised for the purposes of the Financial Services and Markets Act 2000.

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

- (a) 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 certificate issue date;
- (b) I have made more than one investment in an unlisted company in the two years prior to the certificate issue date;
- (c) I am working, or have worked in the two years prior to the certificate issue date, in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises;
- (d) I am currently, or have been in the two years prior to the certificate issue date, a director of a company with an annual turnover of at least £1 million.

**I accept that I can lose my property and other assets from making investment decisions based on financial promotions.**

**I accept that it is open to me to seek advice from someone who specialises in advising on investments.**

**Signature**

**Full name**

**Date**