

# Self-Certified Sophisticated Investor Statement

If you meet **condition A, B, C or D below**, you may choose to be classified as a self-certified sophisticated investor for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005.

Have you:

- A) Worked in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises, in the last two years?

No

Yes

If yes, what is/was the name of the business/organisation?

[\_\_\_\_\_]

- B) Been the director of a company with an annual turnover of at least £1 million, in the last two years?

No

Yes

If yes, what is/was the name of the company, and its Companies House number (or international equivalent)? [\_\_\_\_\_]

C) Made two or more investments in an unlisted company, in the last two years

No

Yes

If yes, how many investments in unlisted companies have you made in the last two years? [\_\_\_\_\_]

D) Been a member of a network or syndicate of business angels for more than six months, and are still a member?

No

Yes

If yes, what is the name of the network or syndicate?  
[\_\_\_\_\_]

OR

E) None of these apply to me

Yes

I declare that I have answered yes to A and/or B and/or C and/or D and wish to be treated as a self-certified sophisticated investor.

I understand that this means:

- a) I can receive financial promotions where the contents may not comply with rules made by the Financial Conduct Authority (FCA);  
and
- b) I can expect **no protection** from the FCA, the Financial Ombudsman Service or the Financial Services Compensation Scheme.

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

**I accept that I could lose all of the money I invest.**

Full Name: ..... Date: .....