

2. Statement for Certified High Net Worth Individual

I declare that I am certified high net worth individual for the purpose of the Financial Service and Markets Act (Financial Promotion Order) October 2005.

I understand that this means:

- a) I can receive financial promotions that may not been approved by the person authorized by the Financial Services Authority;
- b) The content of such financial promotions may not conform to rules issued by the Financial Service Authorities;

c) By signing this statement I may lose significant rights;

- d) I may have no rights 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 am a certified high net worth individual because **at least one of the following applies-**

- a) I had, during the financial year immediately preceding the date below, an annual income to the value of £100,000 or more;
- b) I held, throughout the financial year immediately preceding the date below, net asset to the value of £250,000 or more. Net asset for these purpose do not include
 - i. The property which is my primary residence or any loan secured on that residence;
 - ii. Any rights of mine under a qualifying contract of insurance within the meaning of the Financial Service and Marketing Act 2000 (Regulated Activities) Order 2001;or
 - iii. Any benefits (in the form of pensions or otherwise) which are payable on the termination of my service or on my death or retirement and to which I am (or my dependents are), or may be entitled.

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

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

Client Signature & Date Client

Signature & Date

Rep Name & Rep #

Principal Name

Rep Signature

Signature & Approval Date