

## SCHEDULE 5

### STATEMENTS FOR [F1HIGH NET WORTH INDIVIDUALS] AND SELF-CERTIFIED SOPHISTICATED INVESTORS

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#### Textual Amendments

- F1** Words in Sch. 5 heading substituted (31.1.2024) by The Financial Services and Markets Act 2000 (Financial Promotion) (Amendment) (No. 2) Order 2023 (S.I. 2023/1411), arts. 1(2), 9(2)

## PART II

### STATEMENT FOR SELF-CERTIFIED SOPHISTICATED INVESTORS

**F12.** The statement to be completed and signed for the purposes of article 50A(1) (definition of self-certified sophisticated investor) must be in the following form and contain the following information—

## SELF-CERTIFIED SOPH

If you meet **condition A, B, C or D below**, you are a sophisticated investor for the purposes of the (Financial Promotion) Order 2005.

Have you:

A) Worked in a professional capacity in the private or public sector, in large and medium enterprises, in the last two years

No

Yes

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

B) Been the director of a company with an annual turnover of at least £1 million

No

Yes

If yes, what is/was the name of the company?

(or international equivalent)? [ \_\_\_\_\_ ]

C) Made two or more investments in an unlisted company

**Changes to legislation:** There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, PART II. (See end of Document for details)

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### Textual Amendments

- F1** Words in Sch. 5 Pt. 2 substituted (27.3.2024) by The Financial Services and Markets Act 2000 (Financial Promotion) (Amendment and Transitional Provision) Order 2024 (S.I. 2024/301), art. 1(2), **Sch. 4** (with art. 5(4)(5))

**Changes to legislation:**

There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, PART II.