

SCHEDULES

SCHEDULE 3

Article 15(3)

High Net Worth Individual Investor Statement

“1. The statement to be completed and signed for the purposes of article 21(2) (definition of high net worth individual) must be in the following form and contain the following information—

Status: This is the original version (as it was originally made). This item of legislation is currently only available in its original format.

HIGH NET WORTH INDIVIDUAL INVESTOR STATEMENT	
<p>If you meet condition A or B below, you may choose to be classified as a high net worth individual for the purposes of the Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001.</p> <p>In the last financial year, did you have:</p> <p>A) An annual income of £170,000 or more? Income does <u>NOT</u> include any one-off pension withdrawals.</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>If yes, please specify your income (as defined above) to the nearest £10,000 in the last financial year [£_____]</p> <p>AND/OR</p> <p>B) Net assets of £430,000 or more? Net assets do <u>NOT</u> include: your home (primary residence), any loan secured on it or any equity released from it; your pension (or any pension withdrawals) or any rights under insurance contracts. Net assets are total assets minus any debts you owe.</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>If yes, please specify your net assets (as defined above) to the nearest £100,000 in the last financial year [£_____]</p> <p>OR</p> <p>C) None of these apply to me.</p> <p><input type="checkbox"/> Yes</p>	
<p>I declare that I have answered yes to A and/or B, and wish to be treated as a high net worth individual.</p> <p>I understand that this means:</p> <p>a) I can receive financial promotions where the contents may not comply with rules made by the Financial Conduct Authority (FCA);</p> <p>b) I can expect no protection from the FCA, the Financial Ombudsman Service, or the Financial Services Compensation Scheme.</p> <p>I am aware that it is open to me to seek advice from someone who specialises in advising on investments.</p> <p>I accept that I could lose all of the money I invest.</p> <p>Signature _____ Date _____</p>	