

Please email the completed form to investor@leadinghomes.co.uk

## Statement for Certified High Net Worth Individual

I declare that I am a certified high net worth individual for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2001.

I understand that this means:

- a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Conduct Authority;
- b) the content of such financial promotions may not conform to rules issued by the Financial Conduct Authority;
- c) by signing this statement I may lose significant rights;**
- d) I may have no right to complain to either of the following
  - the Financial Conduct Authority;
  - or 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 assets to the value of £250,000 or more. Net assets for these purposes 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 Services and Markets Act 2000 (Regulated Activities) Order 2001(a); 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 dependants 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 specialises in advising on investments

NAME.....

EMAIL.....

Signature..... Date:.....

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## Statement for Self-Certified Sophisticated Investor

I declare that I am a self-certified sophisticated investor for the purposes of the Financial Services and Markets Act (Financial Promotion) Order 2001.

I understand that this means:

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

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 date below;
- b) I have made more than one investment in an unlisted company in the two years prior to the date below;
- c) I am working, or have worked in the two years prior to the date below, 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 date below, 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 am aware that it is open to me to seek advice from someone who specialises in advising on investments.

NAME.....

EMAIL.....

Signature..... Date:.....

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