



## STATEMENT FOR SELF-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 2005.**

I understand that this means:

- (a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Services Authority;
- (b) the content of such financial promotions may not conform to rules issued by the Financial Services 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 Services 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:
  - the property which is my primary residence or any loan secured on that residence;
  - 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;
  - 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.

Signature: ..... Print Name: .....

Date: .....



### HIGH NET WORTH INDIVIDUAL QUESTIONNAIRE

1. Please explain how you became aware of the proposed investment and confirm that you fully understand that this is an unregulated investment and cannot be marketed to retail clients in the UK.

- 2. In the preceding financial year did you have an income of £100,000 or more? **(if yes, please provide a copy of your P60 and any other supporting documentary evidence)** Yes  No
- 3. In the preceding tax year did you own net assets of £250,000 or more? Not including your primary residence or any loan on it. **(if yes, please provide a detailed list of assets held and their value)** Yes  No
- 4. Do you understand that IPS has NOT provided any advice in relation to your investment? Yes  No
- 5. Have you read and understood the Terms and Conditions of the investment? Yes  No
- 6. Do you understand the charges associated with the investment? Yes  No
- 7. Do you understand that higher risk investments can yield higher returns but there is no guarantee and you may get back less than you invested? Yes  No
- 8. Are you comfortable with the level of risk you are taking with this investment? Yes  No
- 9. Do you understand that the investment may be difficult to sell and this could impact on your ability to take benefits from your pension? Yes  No
- 10. Do you understand that if you die the investment may be difficult to sell and your beneficiaries may suffer financially? Yes  No
- 11. Do you understand that the investment's past performance is not a guide to future performance? Yes  No

Signature: ..... Print Name: .....

Date: .....