



# Investment Register Registration Form

## Your Details

Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Tel \_\_\_\_\_  
Mob \_\_\_\_\_  
Email \_\_\_\_\_

Company name (if applicable) \_\_\_\_\_  
Current position (if applicable) \_\_\_\_\_  
Principal activity of company (if applicable) \_\_\_\_\_  
Other relevant information \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*The information set out above will be treated as private and confidential and will not be divulged to any third party without your express permission.*

## Details of Desired Investment

Industry sector(s) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Is a controlling interest sought? Yes  No   
Maximum level of investment considered  
By company/investment £ \_\_\_\_\_  
In total £ \_\_\_\_\_  
Any restrictions of location \_\_\_\_\_  
\_\_\_\_\_

## Fees

There is no fee for being included on the Investment Register, nor for our introducing investment opportunities.

Signed \_\_\_\_\_

Print name \_\_\_\_\_ Date \_\_\_\_\_

Please sign and date the appropriate statement.

### 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 2005.

I understand that this means:

- I can receive financial promotions that may not have been approved by a person authorised by the Financial Services Authority;
- the content of such financial promotions may not conform to rules issued by the Financial Services Authority;
- by signing this statement I may lose significant rights;
- I may have no right to complain to either of the following:
  - the Financial Services Authority; or
  - the Financial Ombudsman Scheme;
- 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:**

- I had, during the financial year immediately preceding the date below, an annual income to the value of £100,000 or more;
- 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

or

- 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 up to me to seek advice from someone who specialises in advising on investments.

Signed \_\_\_\_\_

Print name \_\_\_\_\_

Date \_\_\_\_\_

### 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 2005.

I understand that this means:

- I can receive financial promotions that may not have been approved by a person authorised by the Financial Services Authority;
- the content of such financial promotions may not conform to rules issued by the Financial Services Authority;
- by signing this statement I may lose significant rights;
- I may have no right to complain to either of the following:
  - the Financial Services Authority; or
  - the Financial Ombudsman Scheme;
- 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:**

- 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;
- I have made more than one investment in an unlisted company in the two years prior to the date below;
- 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;
- 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 up to me to seek advice from someone who specialises in advising on investments.

Signed \_\_\_\_\_

Print name \_\_\_\_\_

Date \_\_\_\_\_

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