

# Member Certification Form

## Form reference H119

Complete this form to confirm that you are a self-certified sophisticated investor, high net worth investor or certified sophisticated investor.

You must complete section 1.

**Quick actions:**

You and your financial adviser should complete section 2, 3 or 4 depending on the type of confirmation required. Refer to H119G Member Certification Form guidance for details.

## 1. Member details

Forename(s)

Hornbuckle plan number

Surname

Email

Date of birth

D D M M Y Y

## 2. Self-certified sophisticated investor statement

I am a self-certified sophisticated investor because at least one of the following applies to me:

- (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.

Member signature

Print name

Date

D D M M Y Y

## 3. High net worth investor statement

I am a high net worth investor because at least one of the following applies to me:

I had, throughout 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:

- (a) the property which is my primary residence or any money raised through a loan secured on that property;
- (b) any rights of mine under a qualifying contract of insurance; or
- (c) 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.

Member signature

Print name

Date

D D M M Y Y

## 4. Certified sophisticated investors

### 4.1 Sophisticated investor statement

I make this statement so that I can receive promotional communications which are exempt from the restriction on promotion of non-mainstream pooled investments. The exemption relates to certified sophisticated investors and I declare that I qualify as such. I accept that the investments to which the promotions will relate may expose me to a significant risk of losing all of the money or other property invested. I am aware that it is open to me to seek advice from an authorised person who specialises in advising on non-mainstream pooled investments.

Member signature

Print name

Date

D D M M Y Y

### 4.2 Sophisticated investor certificate

This section should be completed by your financial adviser.

Adviser name

Firm name

Firm FCA reference

I certify that the member named in section 1 of this form has been assessed by the firm named above as sufficiently knowledgeable to understand the risks associated with engaging in investment activity in non-mainstream pooled investments.

Adviser signature

Date

D D M M Y Y

## Checklist

Before submitting this form please make sure:

You have completed all of the relevant sections of the form.

You have read and understood the guidance on completing the form contained in H119G Member certification form guidance.

### Where to send

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### Get in touch

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