

Member Certification Form Guidance

Quick actions:

Document reference H119G

1. Member details

^x Forename(s)	Your first name and any middle names.
Surname	Your last name.
Date of birth	Your date of birth in the format DD/MM/YY.
Hornbuckle plan number	Your plan number is an 8-character alpha-numeric reference that we quote on our correspondence. The plan number will either start "DW" followed by six numbers (e.g. DW123456), or with six letters followed by two numbers (e.g. ABCDEF01).
Email	Your preferred contact email address. We will use your email address to send you information relating to the administration of your plan, so you should avoid using a work email address or another address likely to be accessed by someone else.

2. Self-certified sophisticated investor statement

This section of the form is relevant for:

- Members who have not received advice and who wish to open an account with a Discretionary Fund Manager (DFM) who is not on our panel of agreed providers.
- Members who have not received advice and who wish to take out a mortgage in order to purchase a commercial property

You should read the required declarations carefully. If they apply to you then you should sign and date this section of the form where indicated.

If the statements do not apply you should proceed to section 3. If neither the statements in section 2 or section 3 apply to you we will be unable to proceed with your instructions.

Please note: we may require you to provide evidence to support the statements made in sections 2 or 3 of the form.

3. High net worth investor statement

This section of the form is relevant for:

- Members who have not received advice and who wish to open an account with a Discretionary Fund Manager (DFM) who is not on our panel of agreed providers.
- Members who have not received advice and who wish to take out a mortgage in order to purchase a commercial property

You should read the required declarations carefully. If they apply to you then you should sign and date this section of the form where indicated.

If neither the statements in section 2 or section 3 apply to you we will be unable to proceed with your instructions.

Please note: we may require you to provide evidence to support the statements made in sections 2 or 3 of the form.

4. Certified sophisticated investors

This section of the form is relevant for:

- Members who have not received advice and who wish to use their SIPP plan to purchase unlisted securities.
- Members who wish to use their SIPP plan to invest in unregulated collective investment schemes (UCIS) or any other non-mainstream pooled investments (NMPIs).
- Members who have not received advice and who wish to use their SIPP plan to invest in any other alternative investments.

4.1 Sophisticated investor statement

You should read the statement carefully and, if you agree with it, sign and date the form where indicated.

4.2 Sophisticated investor certificate

This section of the form should be completed by your financial adviser. The rest of the guidance in this section is addressed to your financial adviser.

Adviser name	The full name of the member's appointed financial adviser as it appears on the financial services register.
Firm name	The name of the adviser firm as it appears on the financial services register. If the firm is using a trading name, write the trading name as it appears on the financial services register. If the firm is an appointed representative of another regulated firm, write the name of the appointed representative (not the name of the principal firm).
Firm FCA reference	The FCA reference number of the firm.

Get in touch

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