



Please read this document carefully so you fully understand the implications of any financial decisions you make. We will retain a copy for future reference. It may also help to refer to our online **glossary** for explanations of technical or unfamiliar terms.

EMBARK PENSIONS

HIGH NET WORTH & SOPHISTICATED MEMBER DECLARATION

Please complete this form in BLOCK CAPITALS and black ink and return it to: Embark Pensions, Provincial House, 37 New Walk, Leicester, LE1 6TU. If you need assistance in completing this form, please call our Customer Services team on 01204 803500.

1 MEMBER DETAILS

Please complete all sections.

1.1 Name of Member:

1.2 Plan Reference*:

1.3 Date of Birth: | D | D | M | M | Y | Y | Y | Y |

1.4 Email:

1.5 Daytime contact number:

* Name of scheme or number if known.

I confirm that I understand the seriousness of the contents of this declaration and have thoroughly read its contents before signing. I understand that it is highly recommended that I seek the appropriate legal, financial and other professional advice before proceeding to enter this declaration.

2 MEMBER CLASSIFICATION

2.1 What type of investor are you?

High Net Worth – Complete Part 3

Certified Sophisticated Investor – Complete Part 4

Self-Certified Sophisticated Investor – Complete Part 5

3 HIGH NET WORTH INVESTOR STATEMENT

3.1 High net worth investor statement:

Please note that this statement must be confirmed every 12 months.

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 high net worth investors and I declare that I qualify as such 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. Annual income for these purposes does not include money withdrawn from my pension savings (except where the withdrawals are used directly for income in retirement).

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; or

- (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; or
- (d) any withdrawals from my pension savings (except where the withdrawals are used directly for income in retirement).

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: 

Date: | D | D | M | M | Y | Y |

4 CERTIFIED SOPHISTICATED INVESTOR

4.1 I have attached, or have submitted in the last 36 months a certificate from a firm confirming they have assessed myself as sufficiently knowledgeable to understand the risks associated with engaging in investment activity in non-mainstream pooled investments. Yes No

4.2 Sophisticated investor statement:

Please note: the statement in 4.2 must be confirmed every 12 months.

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: 

Date: | D | D | M | M | Y | Y |

5 SELF-CERTIFIED SOPHISTICATED INVESTOR

5.1 Self-certified sophisticated investor statement:

Please note that this statement must be confirmed every 12 months.

I declare that I am a self-certified sophisticated investor for the purposes of the restriction on promotion of non-mainstream pooled investments. I understand that this means:

- (i) I can receive promotional communications made by a person who is authorised by the Financial Conduct Authority which relate to investment activity in non-mainstream pooled investments;
- (ii) the investments to which the promotions will relate may expose me to a significant risk of losing all of the property invested.

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 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 seek advice from someone who specialises in advising on non-mainstream pooled investments.

Member Signature: 


Date:

	D		D		M		M		Y		Y	
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 01204 803500

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