

## 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 2001.

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:
  - (i) the Financial Services Authority; or
  - (ii) the Financial Ombudsman Scheme;
- (e) 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** –

- (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 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: \_\_\_\_\_

Date: \_\_\_\_\_

**Important notice:** SWAIN is the regional business angel network for the South West, bringing together investors and companies seeking equity finance for growth. It is an exempt body under the financial services and markets Act 2000 (Regulated Activities) Order 2001. However, it does not give advice on the risks of investment and is not authorized to carry on investment business under the Financial Services and Markets Act 2000 ('the Act'). Before investing in a project about which information is provided by SWAIN, potential investors are strongly recommended to take advice from a person authorised under the Act who specialises in advising on investments of this nature.

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