

SCHEDULE 5

Articles 48 and 50A

STATEMENTS FOR ^{F1}HIGH NET WORTH INDIVIDUALS]
AND SELF-CERTIFIED SOPHISTICATED INVESTORS

Textual Amendments

- F1** Words in Sch. 5 heading substituted (31.1.2024) by The Financial Services and Markets Act 2000 (Financial Promotion) (Amendment) (No. 2) Order 2023 (S.I. 2023/1411), arts. 1(2), **9(2)**

PART I

STATEMENT FOR ^{F2}... HIGH NET WORTH INDIVIDUALS

Textual Amendments

- F2** Word in Sch. 5 Pt. 1 heading omitted (31.1.2024) by virtue of The Financial Services and Markets Act 2000 (Financial Promotion) (Amendment) (No. 2) Order 2023 (S.I. 2023/1411), arts. 1(2), **9(3)**

^{F3}**1.** The statement to be completed and signed for the purposes of article 48(2) (definition of high net worth individual) must be in the following form and contain the following information—

Changes to legislation: There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, SCHEDULE 5. (See end of Document for details)

HIGH NET WORTH INDIVIDUAL INVESTOR STATEMENT
<p>If you meet condition A or B below, you may choose to be classified as a high net worth individual for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005.</p> <p>In the last financial year, did you have:</p> <p>A) An annual income of £100,000 or more? Income does <u>NOT</u> include any one-off pension withdrawals.</p> <p style="text-align: center;"> <input type="checkbox"/> No <input type="checkbox"/> Yes </p> <p>If yes, please specify your income (as defined above) to the nearest £10,000 in the last financial year [£_____]</p> <p>AND/OR</p> <p>B) Net assets of £250,000 or more? Net assets do <u>NOT</u> include: your home (primary residence), any loan secured on it or any equity released from it; your pension (or any pension withdrawals) or any rights under insurance contracts. Net assets are total assets minus any debts you owe.</p> <p style="text-align: center;"> <input type="checkbox"/> No <input type="checkbox"/> Yes </p> <p>If yes, please specify your net assets (as defined above) to the nearest £100,000 in the last financial year [£_____]</p> <p>OR</p> <p>C) None of these apply to me.</p> <p style="text-align: center;"><input type="checkbox"/> Yes</p>
<p>I declare that I have answered yes to A and/or B, and wish to be treated as a high net worth individual.</p> <p>I understand that this means:</p> <ul style="list-style-type: none"> a) I can receive financial promotions where the contents may not comply with rules made by the Financial Conduct Authority (FCA); b) I can expect no protection from the FCA, the Financial Ombudsman Service or the Financial Services Compensation Scheme. <p>I am aware that it is open to me to seek advice from someone who specialises in advising on investments.</p> <p>I accept that I could lose all of the money I invest.</p> <p>Signature _____ Date _____</p>

Textual Amendments

F3 Words in [Sch. 5 Pt. 1](#) substituted (27.3.2024) by [The Financial Services and Markets Act 2000 \(Financial Promotion\) \(Amendment and Transitional Provision\) Order 2024 \(S.I. 2024/301\)](#), art. 1(2), [Sch. 3](#) (with art. 5(3)(5))

PART II

STATEMENT FOR SELF-CERTIFIED SOPHISTICATED INVESTORS

^{F4}**2.** The statement to be completed and signed for the purposes of article 50A(1) (definition of self-certified sophisticated investor) must be in the following form and contain the following information—

SELF-CERTIFIED SOPH

If you meet **condition A, B, C or D below**, you are a sophisticated investor for the purposes of the (Financial Promotion) Order 2005.

Have you:

A) Worked in a professional capacity in the private and medium enterprises, in the last two years

No

Yes

If yes, what is/was the name of the business?

B) Been the director of a company with an annual turnover of less than £1 million

No

Yes

If yes, what is/was the name of the company?

(or international equivalent)? [_____]

C) Made two or more investments in an unlisted company

Changes to legislation: There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, SCHEDULE 5. (See end of Document for details)

Textual Amendments

- F4** Words in Sch. 5 Pt. 2 substituted (27.3.2024) by [The Financial Services and Markets Act 2000 \(Financial Promotion\) \(Amendment and Transitional Provision\) Order 2024 \(S.I. 2024/301\)](#), art. 1(2), **Sch. 4** (with art. 5(4)(5))

Changes to legislation:

There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, SCHEDULE 5.