

Statement for Self-Certified High Net Worth Individuals Investing in a Wide Range of Investments, excluding Non Mainstream Pooled Investments (NMPI) and Unregulated Collective Investment Schemes (UCIS)

Please explain how you became aware of the proposed investment.

1. Do you understand that James Hay Partnership has NOT provided any advice in relation to your investment? Yes No
2. Have you read and understood the Terms and Conditions of the investment? Yes No
3. Do you understand the charges associated with the investment? Yes No
4. Do you understand that higher risk investments can yield higher returns but there is no guarantee and you may get back less than you invested? Yes No
5. Are you comfortable with the level of risk you are taking with this investment? Yes No
6. Do you understand that the investment may be difficult to sell and this could impact on your ability to take benefits from your pension? Yes No
7. Do you understand that if you die the investment may be difficult to sell and your beneficiaries may suffer financially? Yes No
8. Do you understand that the investment's past performance is not a guide to future performance? Yes No

This Form and the relevant Declaration must be fully completed and any evidence provided before we can accept the Self Certification.

DECLARATION

I declare that I am a certified high net worth individual for the purposes of the Financial Services and Markets Act (Financial Promotion) Order 2005.

I understand that this means:

- (a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Conduct Authority;
- (b) the content of such financial promotions may not conform to rules issued by the Financial Conduct 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 Conduct Authority; or
 - (ii) the Financial Ombudsman Scheme;
- (e) I may have no right to seek compensation from the Financial Services Compensation Scheme.

Please tick the statement that applies to you and provide the requested details.

I am a certified high net worth individual because **at least one of the following applies:**

- (a) I had, during the financial year immediately preceding the date below, an annual income to the value of £100,000 or more. (Please provide a copy of your P60 and any other supporting documentary evidence)
- (b) I held, throughout the financial year immediately preceding the date below, net assets to the value of £250,000 or more. (Please provide a detailed list of assets held and their value).
Net assets for these purposes do not include:
 - (i) the property which is my primary residence or any loan secured on that residence;
 - (ii) any rights of mine under a qualifying contract of insurance within the meaning of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001(a); or
 - (iii) 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.

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: Print Name:

Date:

PERSONAL ASSETS & LIABILITIES

Client name:

Member number:

Assets*		Liabilities	
Bank Balance	£	Loan 1	£
Shares	£	Loan 2	£
Savings	£	Loan 3	£
Property 1	£	Mortgage 1	£
Property 2	£	Mortgage 2	£
Property 3	£	Mortgage 3	£
Other Assets	£	Other liabilities	£
Total A	£	Total B	£
Total Net Worth (A - B) £			

Note

* Assets for these purposes do not include:

- (i) the property which is my primary residence or any loan secured on that residence
- (ii) any rights of mine under a qualified contract of insurance within the meaning of the Financial Services Markets Act 2000 (Regulated Activities) Order 2001(a); or
- (iii) 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.

I confirm that I act as an Authorised Representative for the above named Client and confirm I have seen evidence to support the value of the Client's personal assets & liabilities listed above.

OR

I enclose evidence to support the value of the personal assets & liabilities listed above.

Signature: Print Name:

Date:

James Hay Partnership is the trading name of James Hay Insurance Company Limited (JHIC) (registered in Jersey number 77318); IPS Pensions Limited (IPS) (registered in England number 2601833); James Hay Administration Company Limited (JHAC) (registered in England number 4068398); James Hay Pension Trustees Limited (JHPT) (registered in England number 1435887); James Hay Wrap Managers Limited (JHWM) (registered in England number 4773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England number 7259308); PAL Trustees Limited (PAL) (registered in England number 1666419); Santhouse Pensioner Trustee Company Limited (SPTCL) (registered in England number 1670940); Sarum Trustees Limited (SarumTL) (registered in England number 1003681); Sealgrove Trustees Limited (STL) (registered in England number 1444964); The IPS Partnership Plc (IPS Plc) (registered in England number 1458445); Union Pension Trustees Limited (UPT) (registered in England number 2634371) and Union Pensions Trustees (London) Limited (UPTL) (registered in England number 1739546). JHIC has its registered office at 3rd Floor, 37 Esplanade, St Helier, Jersey, JE2 3QA. IPS, JHAC, JHPT, JHWM, JHWNC, SPTCL, SarumTL and IPS Plc have their registered office at Trinity House, Buckingham Business Park, Anderson Road, Swavesey, Cambs CB24 4UQ. PAL, STL, UPT and UPTL have their registered office at Dunn's House, St Paul's Road, Salisbury, SP2 7BF. JHIC is regulated by the Jersey Financial Services Commission and JHAC, JHWM, IPS and IPS Plc are authorised and regulated by the Financial Conduct Authority. The provision of Small Self Administered Schemes (SSAS) and trustee and/or administration services for SSAS are not regulated by the FCA. Therefore, IPS and IPS Plc are not regulated by the FCA in relation to these schemes or services.(01/14)