

Chapter 4

Communicating with clients, including financial promotions

Certified high net worth investor statement

This Annex belongs to ■ COBS 4.12A.22R and ■ COBS 4.12B.38R.

HIGH-NET-WORTH INVESTOR STATEMENT
<p>Please confirm whether you qualify as a high-net-worth investor on the basis that A or B apply to you.</p> <p>In the last financial year did you have:</p> <p>A) an annual income of £100,000 or more? Income does NOT include any one-off pension withdrawals.</p> <div><input type="checkbox"/> No</div> <div><input type="checkbox"/> Yes</div> <p>If yes, please specify your income (as defined above) to the nearest £10,000 in the last financial year _____</p> <p>B) net assets of £250,000 or more? Net assets do NOT include: your home (primary residence), your pension (or any pension withdrawals) or any rights under qualifying contracts of insurance.</p> <div><input type="checkbox"/> No</div> <div><input type="checkbox"/> Yes</div> <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> <div><input type="checkbox"/> Yes</div>
<p>I accept that being a high-net-worth investor will expose me to promotions for investment where there is a significant risk of losing all the money I invest. I am aware that it is open to me to seek professional advice before making any investment in a high-risk investment.</p> <p>Signature:</p> <p>Date:</p>