

Chapter 4

Communicating with clients, including financial promotions

Certified sophisticated investor statement

This Annex belongs to ■ COBS 4.12A.22R and ■ COBS 4.12B.39R.

Firms must omit the notes and square brackets which appear in the following form of certificate.

SOPHISTICATED INVESTOR STATEMENT
<p>Please confirm whether you qualify as a sophisticated investor on the basis that in the last three years you have received a certificate from an authorised firm confirming you understand the risks involved with [type of investment] [Note 1].</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>If yes, what is the name of the authorised firm? _____</p> <p>OR</p> <p>This does not apply to me.</p> <p><input type="checkbox"/> Yes</p>
<p>I accept that being a sophisticated 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>

Note 1: The *firm* must insert the type of *investment* in relation to which the *client* wishes to be categorised for the purpose of receiving *financial promotions*.