

## Appropriateness and Client Categorisation Questionnaire

Terms not otherwise defined in this Questionnaire shall have the same meaning given to them in the Guidance Note for Agents on Appropriateness and Client Categorisation dated 2 January 2015.

### INDIVIDUAL DETAILS

Personal Details			
Title:	Mrs & Ms	Full Name:	Geoffrey & Lisa Jones
Address:	Marchant's Barn		
	Marchant's Close		
	Hurstpierpoint, West Sussex		
	Postcode:	BN6 9UZ	
Telephone:		Mobile:	07811 444212
Date of Birth:	19-9-63 / 16-10-62	Email Address:	geoff.owenjones@btinternet.com

### INDIVIDUAL INVESTOR CLASSIFICATION

The Client falls into the following category as an eligible investor, as defined by the FCA. Please tick as appropriate (one only)


Professional Client:	
Eligible counterparty:	
Retail Investor:	<input checked="" type="checkbox"/>

If the Client is a Retail Investor, please indicate the further category that they fall into (one only)

Certified High Net Worth Individual:*	<input checked="" type="checkbox"/>
Certified or Self-Certified Sophisticated Investor:*	
High Net Worth Company, Unincorporated Association or Trust:**	

\*If one of the first three categories applies to the Client, you should supply their Certification with this Questionnaire and the party submitting the Questionnaire should complete the box below and tick where indicated to confirm that he has reviewed the appropriateness of the proposed investment in the Loan Notes and has complied with the rules in COBS 10 (or equivalent) of the FCA Handbook.

\*\* If this category applies you, as agent, should supply a statement that you have reasonable grounds for believing that this applies.

Name of Firm:	Lucesco Ltd
Name of Individual:	Dawn Hutchings
I confirm that (tick as appropriate):	<input checked="" type="checkbox"/> I have assessed the suitability of the Investor named above in respect of their proposed investment in the Bonds and that I have satisfied the criteria in COBS 10 of the FCA Handbook or equivalent
Signature:	

## APPENDIX I

### CERTIFICATE FOR EXECUTION BY HIGH NET WORTH INVESTOR

#### HIGH NET WORTH INVESTOR STATEMENT

I make this statement so that I can receive promotional communications which are exempt from the restriction on the promotion of non-readily realisable securities. The exemption relates to certified high net worth investors and I declare that I qualify as such because at least one of the following applies to me:

- I had, throughout the financial year immediately preceding the date below, an annual **income** to the value of **£100,000 or more**;
- I held, throughout the financial year immediately preceding the date below, **net assets** to the value of **£250,000 or more**. Net assets for these purposes do not include:
  - (a) the property which is my primary residence or any money raised through a loan secured on that property;
  - (b) any rights of mine under a qualifying contract of insurance; or
  - (c) 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 the investments to which the promotions will relate may expose me to a significant risk of losing all of the money or other property invested.** I am aware that it is open to me to seek advice from an authorised person who specialises in advising on non-readily realisable securities.

Print Full Name:

GEOFF JONES

Signature:

G. Jones

Date:

23-10-17