



## CARLTON JAMES MARKETING AGREEMENT – GUIDANCE FOR AGENTS

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REQUIREMENTS	ADVISED	NOT ADVISED				
		HIGH-NET WORTH INDIVIDUAL	SOPHISTICATED INVESTOR		LESS THAN 10% (RESTRICTED INVESTOR)	PROFESSIONAL INVESTOR
	MUST TAKE INDEPENDENT ADVICE FROM FCA AUTHORISED ADVISOR	£100,000 NET INCOME OR £250,000 NET ASSETS (NOT INCLUDING PRIMARY RESIDENCE, INSURANCE CONTRACTS OR PENSION BENEFITS)	SUFFICIENTLY KNOWLEDGEABLE TO UNDERSTAND THE RISKS ASSOCIATED WITH THE INVESTMENT	INVESTED IN UNLISTED COMPANY IN LAST 2 YEARS, WORK IN PRIVATE EQUITY SECTOR, DIRECTOR OF £1M T/O COMPANY, 'BUSINESS ANGELS'	INVESTING LESS THAN 10% NET ASSETS (NOT INCLUDING PRIMARY RESIDENCE, INSURANCE CONTRACTS OR PENSION BENEFITS)	FCA AUTHORISED FIRM/INDIVIDUAL
	NAME AND CONTACT DETAILS FOR FINANCIAL ADVISOR	STATEMENT SIGNED BY INVESTOR (DOCUMENT 1)	CERTIFICATE SIGNED BY AUTHORISED PERSON AND STATEMENT SIGNED BY INVESTOR (DOCUMENT 2)	STATEMENT SIGNED BY INVESTOR (DOCUMENT 3)	STATEMENT SIGNED BY INVESTOR (DOCUMENT 4)	COPY OF FCA REGISTER
	CONFIRMATION THAT ADVICE HAS BEEN PROVIDED (IF POSSIBLE)	PROVIDE INFORMATION REQUIRED FOR APPROPRIATENESS ASSESSMENT (SEE EXPRESSION OF INTEREST FORM)				
EVIDENCE						

IMPORTANT: THIS NOTE CONTAINS GUIDANCE ONLY AND DOES NOT CONSTITUTE ADVICE OR AN EXHAUSTIVE SUMMARY OF THE RELEVANT PROVISIONS OF THE FINANCIAL SERVICES AND MARKETS ACT 2000 (TOGETHER WITH ALL ASSOCIATED LEGISLATION, REGULATIONS AND GUIDANCE) AND ALL MARKETERS SHOULD ENSURE THAT THEY ARE FAMILIAR WITH AND OPERATE IN COMPLIANCE WITH ALL RELEVANT LEGISLATION AND REGULATIONS AS PER THE TERMS OF THE MARKETING AGREEMENT ENTERED INTO BETWEEN MARKETERS AND PRODUCT ISSUERS

## EXPRESSION OF INTEREST FORM

### CATEGORY OF INVESTOR (TICK & COMPLETE):

#### ☐ ADVISED INVESTOR

The investor has confirmed that they are a retail client of another FCA authorised firm that will comply with the suitability rules (COBS 9) in relation to the Product(s).

Name of FCA authorised financial advisor:.....

#### ☒ NOT ADVISED INVESTOR

Category (tick one):	Evidence provided (tick one and enclose copies):
<input checked="" type="checkbox"/> High-Net Worth Document 1	<input type="checkbox"/> Statement in the required form (that is less than 12 months old) confirming EITHER annual income of at least £100,000 OR net assets of at least £250,000 (not including primary residence, rights under insurance contracts or pension benefits) during the preceding financial year
<input type="checkbox"/> Sophisticated Authorised Certificate and Document 2	<input type="checkbox"/> Certificate signed by FCA authorised person confirming sufficiently knowledgeable to understand the risks associated with the Product(s) AND Statement in the required form for a 'Certified' sophisticated investor, signed by Investor (that is less than 12 months old)
Document 3	OR <input type="checkbox"/> Statement in the required form for a 'Self-Certified' sophisticated investor, signed by Investor (that is less than 12 months old) confirming that they (1) have made more than one investment in an unlisted company in the last 2 years (2) have worked, in a professional capacity in the private equity sector or in the provision of finance for small or medium enterprises (3) are a director of a company with an annual turnover of at least £1m OR (4) are a member of a network of business angels
<input type="checkbox"/> Investing less than 10% Document 4	<input type="checkbox"/> Statement in the required form signed by the Investor (that is less than 12 months old) confirming that they have not in the last 12 months invested more than 10% of their net assets (not including primary residence, rights under insurance contracts or pension benefits) in non-readily realisable securities and that they will not do so in the next 12 months
<input type="checkbox"/> Professional Investor	<input type="checkbox"/> Copy of FCA register confirming the Investor is an FCA authorised firm/person

# EXPRESSION OF INTEREST FORM

## INVESTOR'S DETAILS:

Investor's Title and Full Name: Mrs Louise Johnson - Hydon & Grim Pension Scheme

Investor's Address: Downview House, Broad Bush, Blunsdon, SN26 7DH.

Investor's Telephone Number: 07787 895574

Investor's Email Address: loujohnsonblunsdon@gmail.com

Name of Agent / Agency: My Goal Is

Product(s): Diversified Alpha Fund

Amount: £16,500

## INVESTOR INFORMATION (to be completed by the Investor):

Have you invested previously? Yes ☐ No ☒

If Yes:

What products have you invested in: .....

How often do you invest in these products: .....

How recently have you invested in these products: .....

Please provide details of any education/qualifications that you have and/or current or previous professional experience that is relevant to investing in financial products:

.....

.....

☐ I elect not to provide the investor information requested above.

## EXPRESSION OF INTEREST FORM

### DECLARATION TO BE COMPLETED BY MARKETER/AGENT:

*I hereby confirm and undertake, as or on behalf of the Marketer, that:-*

- (1) the Marketer has complied with all relevant legislation and regulations in relation to this introduction of Investors to the Issuer in respect of the product(s) detailed above; and*
- (2) an appropriateness assessment (in accordance with COBS 10) has been conducted in relation to the suitability of the above mentioned products for the Investor OR the Investor has been informed in writing that it has not been possible to assess whether the above mentioned products represent a suitable investment for the Investor\*; and*
- (3) the Marketer ~~HAS~~ HAS NOT\* provided advice to the Investor in connection with an investment in the Product(s).*

Signed: ..... (Marketer/Agent)

Date: 04/04/2019

(Name: UKW RIVER ..)

### DECLARATION TO BE COMPLETED BY CLIENT/INVESTOR:

*Please accept this form as confirmation of my intention to enter into a contract with the issuer of the product(s) detailed above on receipt of the full invitation documentation. I confirm that the information provided above is true and accurate, in particular in relation to my categorisation as an investor. This is not classified as a binding document between the parties.*

Signed: ..... (Client/Investor)

Date: 04/04/19

(Name: Louise Georgia Johnson ..)

*\*delete as appropriate*

**DOCUMENT 1**

**Statement for Certified High Net Worth Individual.**

I declare that I am a certified high net worth individual for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005.

I understand this means:

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

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;
- b) 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-
  - (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;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: 

Date: 04/04/19

Name: Louise Georgina Johnson