

**Triodos Microfinance Fund SICAV**  
**Appendix A - Certificate for High Net Worth Individuals**

**TRIODOS SICAV II**

**CERTIFICATE FOR EXECUTION BY HIGH NET WORTH INDIVIDUALS**

*Notes*

1. *Before signing the certificate below it is vital that you have read the accompanying document in full..*
2. *Provided that you meet the criteria set out in the certificate below, please sign and date the certificate and return it with your Application Form and remittance in accordance with the terms of the accompanying document.*

I declare that I am a certified high net worth individual for the purposes of Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001.

I understand that this means:

- (a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Services Authority, which relate to units in unregulated collective investment schemes that invest wholly or predominantly in unlisted companies;
- (b) the schemes to which the promotions will relate are not authorised or recognised for the purposes of the Financial Services and Markets Act 2000.

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 unregulated collective investment schemes.

Signature.....

Date.....

Print full name

**Triodos Microfinance Fund SICAV**  
**Appendix A - Certificate for Self Certified Sophisticated Investors**

**TRIODOS SICAV II**

**CERTIFICATE FOR EXECUTION BY SELF-CERTIFIED SOPHISTICATED INVESTORS**

*Notes*

1. *Before signing the certificate below it is vital that you have read the accompanying document in full.*
2. *Provided that you meet the criteria set out in the certificate below, please sign and date the certificate and return it with your Application Form and remittance in accordance with the terms of the accompanying document.*

I declare that I am a Self-Certified Sophisticated Investor for the purposes of the Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001.

I understand that this means:

- (a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Services Authority, which relate to units in unregulated collective investment schemes that invest wholly or predominantly in unlisted companies;
- (b) the schemes to which the promotions will relate are not authorised or recognised for the purposes of the Financial Services and Markets Act 2000.

I am a Self-Certified Sophisticated Investor because **at least one of the following applies:**

- (a) I am a member of a network or syndicate of business angels and have been so for at least the last six months prior to the date below;
- (b) I have made more than one investment in an unlisted company in the two years prior to the date below;
- (c) I am working, or have worked in the two years prior to the date below, in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises;
- (d) I am currently, or have been in the two years prior to the date below, a director of a company with an annual turnover of at least £1 million.

**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.....

Print full name