

# Triodos Bank

## Statement for a Certified High Net Worth Individual or Self-certified Sophisticated Investor.

To request an application pack for the Triodos Microfinance Fund, read, complete and sign one of the statements that is applicable to you. For joint applications, you must both sign one of the statements.

Send your completed application form to:  
Freepost RTAB-JGZR-BUHK  
Triodos Bank,  
T. Bailey Asset Management Ltd,  
64-66 St James's Street,  
Nottingham, NG1 6FJ

As Triodos Bank N.V. is licensed in the Netherlands, investments and deposits are not covered by the UK Financial Services Compensation Scheme. However, investments may be covered by the Dutch Investor Compensation Scheme, for more information please visit:  
[www.triodos.co.uk/en/about-triodos/important-information/deposit-guarantee-scheme](http://www.triodos.co.uk/en/about-triodos/important-information/deposit-guarantee-scheme)

### Glossary of terms

Non-mainstream pooled investments – Defined by the FCA as investments which encompass at least one of five broad themes, one of which is unregulated collective investment schemes. The Microfinance fund falls under this classification.

FCA - Financial Conduct Authority, the financial regulatory body in the United Kingdom

## Personal Details - First applicant

How did you hear about Triodos Bank?

If you are an existing Triodos customer please provide your account number

Title Mr / Mrs / Ms / Miss / Dr / Other

First name(s)

Surname

Male  Female

Permanent Residential Address

Postcode

Telephone (home\*)

Mobile\*

Email\*

(\*if you are happy to be contacted by telephone and email in the future)

## Personal Details - Second applicant

How did you hear about Triodos Bank?

If you are an existing Triodos customer please provide your account number

Title Mr / Mrs / Ms / Miss / Dr / Other

First name(s)

Surname

Male  Female

Permanent Residential Address

Postcode

Telephone (home\*)

Mobile\*

Email\*

(\*if you are happy to be contacted by telephone and email in the future)

Only sign the one statement that applies to you.

## Statement for Self-certified Sophisticated Investor

I declare that I am a self-certified sophisticated investor for the purposes of the restriction on promotion of non-mainstream pooled investments. I understand that this means:

- I can receive promotional communications made by a person who is authorised by the Financial Conduct Authority which relate to investment activity in non-mainstream pooled investments;
- the investments to which the promotions will relate may expose me to a significant risk of losing all of the property invested.

I am a self-certified sophisticated investor because at least one of the following applies:

- 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;
- I have made more than one investment in an unlisted company in the two years prior to the date below;
- 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;
- 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 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 someone who specialises in advising on non-mainstream pooled investments.

### First Applicant

Signed

Date

### Second Applicant

Signed

Date

## Statement for Certified High Net Worth Individual

I make this statement so that I can receive promotional communications which are exempt from the restriction on promotion of non-mainstream pooled investments. 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. Annual income for these purposes does not include money withdrawn from my pension savings (except where the withdrawals are used directly for income in retirement).
- 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; or

(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; or

(d) any withdrawals from my pension savings (except where the withdrawals are used directly for income in retirement).

**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-mainstream pooled investments.

### First Applicant

Signed

Date

### Second Applicant

Signed

Date

Freephone: 0800 328 2181 • [contact@triodos.co.uk](mailto:contact@triodos.co.uk) • [www.triodos.co.uk](http://www.triodos.co.uk)

Calls to and from Triodos Bank may be recorded for training and monitoring purposes. Triodos Bank NV (incorporated under the laws of the Netherlands with limited liability, registered in England and Wales BR3012). Authorised by the Dutch Central Bank and subject to limited regulation by the Financial Conduct Authority and Prudential Regulation Authority. Details about the extent of our regulation by the Financial Conduct Authority and Prudential Regulation Authority are available from us on request. Registered office: Triodos Bank, Deanery Road, Bristol, BS1 5AS.

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TB/MIC.STMT/APR17