



Alternative Asset Management Limited

## Information

We would like to establish beyond reasonable doubt that you are a Qualified Investor under the FSA's guidelines. The FSA maintain a register of all Qualified Investors who have declared their status. It is important for us to know that you are a Qualifying Investor before we make any offer or proposal to you in connection with our investment products. As a Qualified Investor, you must understand that there will be no obligation for us to publish a prospectus when securities are offered to you and therefore any rights or protections that may accrue to you arising from a prospectus will not apply. The information marked with an asterisk '\*' is mandatory information for our records. All information will be strictly confidential and maintained by us as a record for regulatory purposes only. The signing of the attached self-certification form is mandatory if you wish to become an investor with us at any stage. The information held by us will be deemed to expire on 30 June of each year and it is incumbent upon you to Qualifying Investor to notify us of any change to your status if it will in any way effect your Qualifying Investor status.

## Individuals

Name\*:

Contact address (see below)\*:

Your contact address can be a PO Box, your broker's name and address (with your identification number for them) or the address of an adviser/representative (for example your solicitor/ accountant/financial adviser).

Email Address†:

## Small and Medium Size Enterprises

Company name\*:

Contact name and position\*:

Registered office address\*:

Contact email address†:

I/we consent that the information may be:

- 1) disclosed to the FSA if required under the Rules; and
- 2) used by Alternative Asset Management Limited (as the issuer or offeror, or an agent of the issuer or offeror) for the purposes of:
  - (a) determining whether I am/we are a Qualified Investor; or
  - (b) making an offer of securities to me/us, in connection with an offer of securities to the public by the issuer or offeror.

I/we also accept that the FSA may disclose information to other public authorities, such as other securities regulators, for the purposes of the performance of the FSA's, or their, functions (see section 348 of FSMA).

I/we do not consent to use of the information by the issuer or offeror (or an agent of the issuer or offeror) for any purposes other than those set out above; nor do we consent to disclosure to any other person by the issuer, offeror or their agent, without our express prior permission.

Signed:

Date:



Alternative Asset Management Limited

To: Alternative Asset Management Limited

Date:

### For Individuals

I \_\_\_\_\_ certify that I meet at least two of the following criteria:

- I have carried out transactions of a significant size (at least EUR 1,000) on securities market in the UK at an average frequency of, at least 10 per quarter over the previous four quarters;
- The size of my securities portfolio exceeds EUR 0.5 million;
- I work or have worked for at least one year in the financial sector in a
- professional position which requires knowledge of securities investment.

### For Small and Medium Sizes Enterprises

I/we \_\_\_\_\_ certify that \_\_\_\_\_ meets at least two of the following criteria based on our latest annual accounts, for financial year ending \_\_\_\_\_ :

- The average number of our employees is less than 250.
- Our total balance sheet does not exceed EUR 43, 000,000.
- Our annual net turnover does not exceed EUR 50,000,000.

**If you are unsure whether you meet the criteria to become a Qualified Investor we recommend that you seek advice before proceeding with this application. Also, be aware that consenting to be a Qualified Investor will modify your position under the Data Protection Act 1998 because your private data may be available on, and for the purposes of, the FSA Qualifying Investor Register.**

### Confirmation

**I /We acknowledge that I am/we are aware of the implications of certification as a Qualified Investor under FSMA. In particular, I am/we are aware, that as a Qualified Investor, there is no obligation to publish a prospectus when securities are offered to me/us and therefore any rights that may accrue to me/us under a prospectus will be waived as a result.**

Signed:

Date:

Applicant, director or secretary or other duly authorised officer for and on behalf of  
Name of applicant: