



Origin Energy CIC

Private placement of Community Shares – Dec 2014

Self-certification form for Investment Professional

Dear Prospective Investor,

Thank you for your interest in Origin Energy CIC. The private placing is restricted to potential investors who fall within one of the following exemptions under the Financial Services and Markets Act 2000 (Financial Promotions) Order 2005 (FPO):

1. A person categorised as an investment professional in accordance with regulation 19 of the FPO;

2. Persons certified or self certified as high net worth individuals in accordance with regulation 48 of the FPO;
3. Certified or self certified sophisticated investors in accordance with regulations 50 and 50A of the FPO.
4. A common interest group member in accordance with regulation 52 of the FPO

Before we can send you any further information, we need to receive confirmation of your eligibility for one of the four exemptions. By completing this form you are confirming you are eligible under category 1 above. Separate forms are provided for the other three categories.

Please review and complete the form overleaf and return to Origin Energy CIC by one of the following means:

By email - Please send a scanned copy of the signed form to: communityshares@origin.org

By post to: Origin Energy CIC , 18 Blake St, York, YO1 8QH

Please also provide:

Postal address:

Email address:

Please tick if you require a printed copy of the Private Placing Memorandum, otherwise only an email copy will be provided.

On receipt of the signed form we will email or post to you a copy of the Private Placing Memorandum which provides further details on Origin Energy CIC and the Private Placing.

Should you have any queries please contact John Mulkerrin at communityshares@origin.org

Origin Energy CIC

Blake House, 18 Blake Street, York, YO1 8QH
Tel: 01904 659642



FSMA Exemption Certificate – Investment Professional

**Statement of Self-certification for an Investment Professional
(Financial Promotions)**

I declare that I am an Investment Professional for the purposes of the Financial Services and Markets Act (Financial Promotion) Order 2005.

I understand that this means:

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

I am an Investment Professional because at least one of the following applies:

- (a) I am an authorised person;
- (b) I am an exempt person where the communication relates to a controlled activity which is a regulated activity in relation to which the person is exempt;
- (c) I am a person -
 - (i) whose ordinary activities involve him in carrying on the controlled activity to which the communication relates for the purpose of a business carried on by him; or
 - (ii) who it is reasonable to expect will carry on such activity for the purposes of a business carried on by him;
- (d) a government, local authority (whether in the United Kingdom or elsewhere) or an international organisation;
- (e) a person (“A”) who is a director, officer or employee of a person (“B”) falling within any of sub-paragraphs (a) to (d) where the communication is made to A in that capacity and where A’s responsibilities when acting in that capacity involve him in the carrying on by B of controlled activities.

I accept that I can lose my property and other assets from making investment decisions based on financial promotions.

Signature.....

Name (please print).....

Date.....

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