

Premier SIPP Certification of Sophisticated and HNW Investors

If you wish to invest in non-standard, alternative investments or non-mainstream pooled investments (NMPs), you must be able to declare (and provide evidence if required) that you are a self-certified sophisticated investor or high net worth individual, as defined below.

You will only be able to invest in these products through your Premier SIPP if you meet the relevant definitions.

These investments are considered high risk. Although high risk investments could mean higher returns, there is no guarantee of this and you may get back less than you invested.

Please note: Options UK Personal Pensions LLP requires a minimum fund size of £50,000 and a retained cash balance of £3,000 to support ongoing fees.

Please note: If you make further complex or alternative investments that fall into a new tax year, you will need to complete a new certification form.

Definitions

Self-certified sophisticated investor At least one of the following statements must apply:	Certified high net worth individual At least one of the following statements must apply:
<ul style="list-style-type: none"> a) You are a member of a network or syndicate of business angels and have been so for at least the last 6 months prior to the date stated on the Declaration on page 2. b) You have made more than one investment in an unlisted company in the two years prior to the date stated on the Declaration on page 3. c) You are working, or have worked in the two years prior to the date stated on the Declaration on page 2, in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises. d) You are currently, or have been in the two years prior to the date stated on the Declaration on page 2, a director of a company with an annual turnover of at least £1 million. 	<ul style="list-style-type: none"> a) You had during the financial year immediately preceding the date stated on the Declaration on page 2, an annual income of at least £100,000. b) You held throughout the financial year immediately preceding the date stated on the Declaration on page 2, net assets of at least £250,000. Net assets for these purposes does not include the following: <ul style="list-style-type: none"> i. The property which is your primary residence or any loan secured on that residence; ii. Any rights you hold under a qualifying contract of insurance within the meaning of the Financial Services and markets act 2000 (Regulated Activities) Order 2001; iii. Any benefits (in the form of pensions or otherwise) which are payable on the termination of your service or on your death or retirement and to which you are (or your dependants are) or may be entitled.

Section 1. Your Personal Details

SIPP Ref Number:

Title: (Mr, Miss, Mrs, Ms, Other)

Forenames: (in full)

Surname:

Address:

Postcode:

Section 2 - Declaration

1. Please tick one of the following statements as defined on Page 1:

a) 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.

b) I declare that I am a Certified HNW individual for the purposes of the Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001.

2. I confirm that I have read and understood the terms and conditions of the investments.
3. I confirm that I am aware these investments expose me to a significant risk of losing all of the money or other property invested.
4. I understand that Options UK Personal Pensions LLP has not provided any advice in relation to this investment.
5. I am aware that it is open to me to seek advice from someone who specialises in advising on these non-standard, alternative investments or NMPs.
6. I understand the charges associated with the investment.
7. I can receive financial promotions that may not have been approved by person(s) authorised by the FCA.
8. I understand that I cannot make investments into assets that are subject to the 'taxable property' rules defined by HM Revenue and Customs, but should any of my investments now or in the future be regarded as taxable property I will be liable for any resultant tax charges.
9. I understand that these investments may not easily be sold and that this could affect my ability to take pension benefits from my SIPP, or, in the event of my death, to pay death benefits to my beneficiaries.
10. I confirm that all the details provided on this form are, to the best of my knowledge and belief, true and complete.

Client Name:

SIPP Ref Number:

Assets *		Liabilities	
Bank Balance	£	Loan 1	£
Shares	£	Loan 2	£
Savings	£	Loan 3	£
Property 1	£	Mortgage 1	£
Property 2	£	Mortgage 2	£
Property 3	£	Mortgage 3	£
Other Assets	£	Other Liabilities	£
Total A	£	Total B	£
Total Net Worth (A-B)	£		£

Note:

* Assets for these purposes do not include:

- i. The property which is your primary residence or any loan secured on that residence;
- ii. Any rights you hold under a qualifying contract of insurance within the meaning of the Financial Services and markets act 2000 (Regulated Activities) Order 2001;
- iii. Any benefits (in the form of pensions or otherwise) which are payable on the termination of your service or on your death or retirement and to which you are (or your dependents are) or may be entitled.

Section 2 - Declaration (continued)

Print Name:

Signature:

Date: Day Month Year

I confirm that I act as an Authorised Representative for the above named client and have seen evidence to support the value of the client's personal assets & liabilities listed above.

Print Name:

Signature:

Date: Day Month Year



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FOR MORE INFORMATION PLEASE CONTACT

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