

## Premier SSAS Provider Terms Investment Portfolio

### Introduction

The purpose of this document is to set out our requirements in relation to the operation of services provided to the members of the Premier SSAS.

### What we require from you

- Notification of any non-permitted investments currently held
- Adherence to our permitted investments ongoing
- You will notify us within an appropriate and reasonable timescale of any material/substantive changes to the arrangement in place
- Regular (at least six monthly) portfolio valuations
- All clients will be treated as retail clients unless notified by ourselves
- Each client will need to complete your standard application and this will be counter-signed by us
- Monies will only ever be moved between the member's account held with yourself and the SSAS bank account notified to you by us
- You will adhere to all agreements between you and our mutual client
- You will notify us should any investment become impaired
- You will carry out all transaction and associated reporting as required by governing regulation such as that under MiFID II
- You will contact us should an investment be proposed that does not appear on our permitted or prohibited lists and that no such investment will be made without our prior written approval
- You will notify us should there be any change to your regulatory permissions or status
- Any portfolios giving rise to concern in terms of poor performance will be notified to us
- You will provide us with a copy of your due diligence pack covering off the following key areas on an annual basis, where applicable:
  - Corporate information
  - Company background
  - Key people & staff (recruitment, training etc)
  - Investment process and methodology
  - Portfolio management, reporting & monitoring
  - Communication
  - Compliance & risk management

### Investments

Although tax legislation allows a wide range of investments, as Professional Trustee and Scheme Administrator, we have chosen to limit some of the investment types permitted under our SSAS products. This has primarily been driven by the changing regulatory environment under which we operate and a reassessment of the associated risks.

Due to the range of investments available, it has not been possible to cover off everything in this document, so please do feel free to contact us should you have any queries.

In normal circumstances, Options SSAS Limited ("Options UK") allow the following investments, but we reserve the right to decline an investment if we believe it is non-standard or the trustee company considers the investment risk too high.

## Permitted

- FCA authorised collective investment schemes including Unit Trust and Open Ended Investment Companies
- Deposit Account in any currency held with an institution authorised under the FSMA 2000
- Exchange Traded Funds listed on the London Stock Exchange or any overseas HMRC recognised primary stock exchange
- Funds Compliant with the Undertakings for Collective Investment in Transferable Securities (UCITS) Directive
- Gold Bullion (investment grade) via The Royal Mint
- Government Bonds issued by a member state of the European Economic Area (EEA)
- Investment Portfolios managed by an FCA authorised operator (Discretionary, Advisory or Execution only)
- Investment Trusts listed on the London Stock Exchange or any overseas HMRC recognised primary stock exchange
- National Insurance products excluding Premium Bonds and Pensioner Bonds
- Permanent Interest Bearing Shares
- Real Estate Investment Trusts listed on the London Stock Exchange or any overseas HMRC recognised primary stock exchange
- Structured Products compliant with the UCITS Directive
- Stocks and Shares listed on the London Stock Exchange or the UK's Alternative Investment Market including any overseas HMRC recognised primary stock exchange
- Share Portfolios managed by an FCA authorised operator
- Trustee Investment Plans comprising FCA regulated funds
- UK Government Treasury Bills/Gilts
- UK Real Estate Investment Trusts

## Prohibited

- Cannabis related stocks and funds
- Commodities
- Contingent Convertible Securities
- Enterprise Investment Schemes, Venture Capital Trusts and Seed Enterprise Investment Schemes
- Exchange Traded Funds not complying with the UCITS Directive
- Futures, Options or Contracts for Difference
- Green Energy Initiatives including carbon credits, solar, wind or tidal power etc
- Loan Notes
- Mini Bonds
- Offshore Bonds
- Overseas Commercial Property/Land/Developments (direct or indirect)
- Patents
- Peer to Peer Lending
- Plant and Machinery
- Precious metals and coins (except for investment grade gold bullion via the Royal Mint)
- Premium and Pensioner Bonds
- Shares in a Company which the member or person(s) connected to the member controls
- Shares Traded on the OFEX
- Split Capital Investment Trusts
- Traded Life Policies
- Unregulated Collective Investment Schemes (UCIS)
- Warrants

## Declaration

We agree to abide by the above requirements and investment directives as set out by Options UK in relation to the provision of our services to members of the Premier SSAS.

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Signed on behalf of:   
*Insert Provider Name*

Date:  Day  Month  Year

## Contact

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FOR MORE INFORMATION PLEASE CONTACT

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