

## Non-standard investments: statement & declaration

### Important note

This document is updated regularly. Please ensure you're referring to the latest document by visiting our website or contacting your Xafinity SSAS Consultant. You can find out more about non-standard investments in your SSAS Member Trustee Guide.

### Your details

Your name

SSAS Name

### Your understanding of the investment

Type of investment proposed

**If you answer 'no' to any of these questions, the investment can't proceed.**

- Do you **fully understand** the investment you want to put into your SSAS? Yes  No
- Have you read the Investment Memorandum and Risk Warnings (or other documents)? Yes  No
- Do you understand the investment could fail, possibly leaving you with nothing? Yes  No
- Do you understand you might not be able to get your money out when you need it? Yes  No
- If the investment is 'unregulated', do you understand if things go wrong, you won't be able to complain to the FOS or make a claim of the FSCS? Yes  No

### Do you meet the investment criteria?

**If you don't answer 'yes' to at least ONE of these 7 questions, the investment can't proceed. If you answer 'yes', we'll then review each case on an individual basis.**

#### High net worth investor:

- 1. In the last financial year, was your annual income over £100,000?  
*(Excludes money withdrawn from pension savings, except where withdrawals are used as income in retirement)* Yes  No
- 2. Do you have assets in excess of £250,000?  
*(Excludes your main residence and loans against it, any insurance contracts, any benefits payable on termination of service, death or retirement to you/ your dependents or any withdrawals from pension savings except where withdrawals are used as income in retirement)* Yes  No

#### Sophisticated investor:

- 3. Are you (and have been for at least 6 months) a member of a network or syndicate of business angels? Yes  No
- 4. Have you made any investments in non-standard investments in the last 2 years? Yes  No
- 5. Have you worked in a professional capacity in the private equity sector for the last 2 years? Yes  No
- 6. Have you worked in a professional capacity in providing finance for SMEs for the last 2 years? Yes  No
- 7. Have you been a director of a company with an annual turnover >£1 million for the last 2 years? Yes  No

## Your declaration

I declare that I am a high net worth / sophisticated investor for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2001. 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 (FCA);
- (b) the content of such financial promotions may not conform to rules issued by the FCA;
- (c) **by signing this statement I may lose significant rights;**
- (d) I may have no right to complain to either the FCA or the Financial Ombudsman Service;
- (e) I may have no right to seek compensation from the Financial Services Compensation Scheme.

Signed : .....

PRINT NAME : .....

Date : .....

## Overseas investments: your agreement to legal fees

I confirm that Xafinity SIPP Services Limited, trading as Xafinity, can employ legal advisers to investigate any overseas registered/constituted investment. I agree to Xafinity SIPP Services Limited appointing a legal adviser and I agree that I will be responsible for the fees charged by the legal adviser, subject to Xafinity SIPP Services Limited agreeing these with me beforehand.

Signed : .....

PRINT NAME : .....

Date : .....

## Adviser's statement

I confirm that:

- (a) I have advised the above client to invest in the investment named above;
- (b) I have checked that the client can be advised and promoted this investment;
- (c) The answers given above are correct and I have verified this information.

Signed : .....

PRINT NAME : .....

FCA IRN : .....

Date : .....

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