

Premier Portfolio Management Service

COVID-19: scanned documentation and instructions

During this pandemic, we (Premier Fund Managers Limited) will be accepting scanned copies/photographs of documentation submitted via intermediary firms rather than requiring original paper or certified copies for new business and some servicing such as dealing instructions.

Certification of AML and bank verification documents

If we are sent copies of identity or bank account verification documentation by email from an adviser, whether a scanned copy or a photograph, these can be accepted without seeing the original or certifying them, subject to the following:

- we have no reason to doubt the true nature of the source of the documentation e.g. the adviser has communicated with us previously using the same contact details;
- the documentation is sent from an e-mail address that is the adviser's work e-mail, and not a cloud or home e-mail address

Our identification and bank verification checks remain unchanged, so if you are unsure about what should be provided, please contact us.

Electronic signatures

For new business, accounts can be opened and investments made prior to the AML documentation being provided, if the application process is followed for electronic signatures. However, any subsequent withdrawals may not be processed until the outstanding AML or bank verification documentation is received. We have reviewed our processes where an electronic signature is required and can confirm that we will, where possible and safe to do so, accept electronic signatures in the following circumstances:

ISA and General Investment Account applications

Where a client has completed the application form, this can only be accepted from the adviser. This can be scanned or photographed and sent to us by e-mail.

- Providing one of the AML documents is a driver's licence or passport, we will not require a further signature from the client.
- We will provide the relevant declarations to the client via post.

Where a client is unable to meet the adviser, the adviser should complete the application form, based on the information they have from the client and scan or take a photo of the application and send it to us by e-mail.

- Providing one of the AML documents provided is a driver's licence or passport, we will not require a further signature from the client.

- We will provide the relevant declarations to the client via post.

In both circumstances detailed above, the adviser should add the following declaration to the text of the e-mail they send, with the scanned application form.

Declaration:

I am responsible for checking the accuracy of all information and instructions I pass to Premier Fund Managers Limited, including this application form. If an error is made, I am responsible for ensuring it is corrected;

The information provided in this form in relation to my client(s) is, to the best of my knowledge and belief, accurate and complete;

I have obtained the authority of my client to complete and submit this application form, and they have confirmed the accuracy of the information contained therein;

I have provided all necessary information and documents to the client, as if it was a face-to-face meeting;

I have explained to my client that by submitting this application form it shall be binding on them as if they had signed it in person, and they have consented to this;

Selling investments and withdrawal of cash

We will accept phone calls or e-mail instructions from either the adviser or client to sell their investment with Premier Fund Managers Limited. However, this will remain in cash until the requirements set out below have been satisfied.

- AML and identity verification checks should be met;
- payment by direct payment to a bank account - the bank account should have met our verification requirements on that bank account;
- we will contact the client by telephone to confirm the instructions before the payment is made, regardless of the amount requested

If you are unsure about any of the steps outlined above, please call 0333 456 1122 or email investorservices@premiermiton.com

For your protection and for training purposes, phone calls are recorded and monitored.

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