For adviser use only

Application coversheet

Please use this coversheet as a checklist to review paperwork requirements for the applications being submitted.
Please note that we will not cross reference the contents of the pack submitted against this coversheet if sent with the paperwork.

Nucleus client relations, PO BOX 26968, Glasgow G2 9DY

If you've any questions please contact our client relations team on 0131 226 9535 or email client.relations@nucleusfinancial.com.

Date of submission

Adviser name

Name of adviser firm

Client reference number

Client name

Adviser phone number

New client application

Please include the following documents.

Form number	Name of form	Included	Quantity
	Copy of online application summary		
0024/0027/0314	Appropriate Nucleus declaration for individuals/corporate/trusts as required (ensuring all sections are completed for the required accounts).		
0017/0016	AML forms - individual/corporate & other non personal entity for any client not verified via the online application e.g. employer, third party payer, Power of Attorney		
	Bank statement or void cheque to validate bank details (if necessary)		

DFM – Client authority form

0494	DFM client authority		

Top up applications – to an existing wrapper

	Copy of online application summary		
	Cheque (not permitted for the Offshore Bond), or details of bank transfer		
0204	Client authority form - top ups and regular contributions		

Additional wrapper application

	Copy of additional wrapper application and a new declaration form completed and signed		
	Cheque (not permitted for the Offshore Bond), or details of bank transfer		
	Account specific forms		

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Application coversheet continued

Opening a General account

	Re-registration form – funds or securities		
0480	Crest forms		
0481	Stock transfer forms		
0013	General account direct debit mandate		
	Share certificates		
	Cheque or details of bank transfer		
	Authorised signatories list (Trustee/corporate accounts)		

Opening an Isa

0020	Isa transfer form		
	Re-registration form – funds or securities		
0014	Isa account direct debit mandate		
	Cheque or details of bank transfer		
0481	Stock transfer form(s)		
	Share certificate(s)		

Opening an Isa via Additional permitted subscription

0358	APS transfer authority form		
0270	Declaration - Additional permitted subscription		

Opening a Junior Isa

0315	Junior Isa transfer form		
	Re-registration form – funds or securities		
0014	Junior Isa account direct debit mandate		
	Cheque or details of bank transfer		
0481	Stock transfer form(s)		

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Application coversheet continued

Opening a Pension (Sipp)

0028	Pension drawdown form, as required		
0021	Pension transfer form		
	Is this a defined benefit (DB) pension transfer? Yes		No
	Re-registration fund and securities form		
0041	Pension discharge money out form		
0015	Pension account direct debit mandate		
	Ceding companies own discharge form		
	Cheque or details of bank transfer		

Opening an Offshore Bond

0235	Offshore Bond application form - Individuals		
0918	Offshore Bond application form - Trust and Corporate		
	Supplementary evidence of source of wealth (if premium >£900k)		
	Bank transfer when prompted by RL360		
	Copy of pre-sale illustration		

Offshore Bond top up

0071	Nucleus Offshore Bond top up form		
	Supplementary evidence of source of wealth (If top up takes the total premium over £900k or if the policy premium is already over £900k supplementary source of wealth must be provided)		
0204	Client fee authority form		
	Bank transfer when prompted by RL360		

Application coversheet continued

Opening an Onshore Bond

0156	Onshore Bond account application form		
	Cheque or details of bank transfer		

Onshore Bond top up

0213	Onshore Bond top up form		
0017/0016	AML – individuals/corporate as required		
0204	Client fee authority form		

Fees – Client authority form

0410	Change to annual advice fee		
0160	Ad-hoc fee - client authority		
0548	Ad-hoc fees - Ongoing authority form		

Withdrawal/income requests

0023	Income withdrawal form (for General and Isa)		
0114	Onshore Bond withdrawal/income request		
0250	Onshore Bond loss non receipt of policy schedule and agreement		
0068	Offshore Bond withdrawal/surrender request		

For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 0131 226 9535, or via the Relay UK service on 18001 0131 226 9535.

0131 226 9535 client.relations@nucleusfinancial.com nucleusfinancial.com

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