


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		
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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		

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)

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
	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

Opening an Onshore Bond

0156	Supplementary application form
	Cheque or details of bank transfer

Application coversheet continued

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
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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