

Scanned documentation

We can accept scanned copies of most documents, provided they have been correctly completed and contain a clear handwritten signature. Scanned documents must be attached to Jira, which is the most secure method of electronic delivery.

E-signatures: For these cases, please refer to our [Nucleus forms: e-signature requirements](#) document in the user guide documents section on the platform library.

Security measures: Before you send us any client instruction via scanning, you must verify the instruction with your client. Please confirm that all instructions have been signed by your client by speaking to them on the phone, by video chat or in person (face to face). Fraudsters are clever and are coming up with new and sophisticated ways of accessing and intercepting emails. Please don't accept verifications by email – you could be putting your client and your business at risk.

Don't send us any documents by email as these will be rejected. If you don't use Jira please speak to a client relations manager to get access.

Jira requirements

1. Where possible, one client per Jira created please
2. All scanned documents must be submitted by Jira messaging
3. All pages of the documents must be scanned
4. All documents must contain a handwritten signature, unless you have used an e-signature (referenced above)
5. All handwritten information must be legible

Formats for scanning

Method	Acceptable formats for scanning
Scanned documents (scanner)	Scanned using a flatbed scanner/all in one printer
Scanned documents (scanning app)	Scanned using a dedicated smartphone/tablet scanner app. A number of these are available from app stores. The advantage of using an app like this is that it makes it easier to create a single pdf of documents with multiple sides.
Photos taken with smartphone/tablet	<p>Photos must be visible and be free from glare. Please try to make sure all four corners of the page are contained in the photo.</p> <p>Please avoid taking the picture at an angle, the picture should be taken from directly above the document.</p> <p>Photos should be placed in a word document and saved as a pdf. For documents with multiple sides place the photos in the correct order before saving to pdf.</p>

General guidance:

- When photocopying a document please make sure the copy is true to size and not reduced or enlarged.
- When uploading documents to Jira, under the field 'How was the paperwork attached signed?' please select 'Handwritten signature'.
- Photographed documents can have insufficient image quality to enable them to be processed. This will lead to instructions being rejected and processing delays. Please refer to the above table.
- All forms should be completed in full. You can find various user guides in the platform library to assist with completing documents.

We reserve the right to request the original document be posted to us if the scanned document requirements are not met.

To make sure client instructions are processed without delay, this guidance must be adhered to. Rejected forms may lead to processing delays and possibly trading delays (where investments are to be made), which may cause financial detriment.

Documents acceptable for scanning

Document	Document number	Number of pages	Scanned document acceptable?
Ad-hoc fee - client authority	0160	2	Yes
Ad-hoc fee - Ongoing Authority form	0548	1	Yes
AML (individual)	0016	1	Yes
AML (corporate and other non-personal entity)	0017	1	Yes
APS declaration	0270	2	Yes
APS transfer authority form	0358	2	Yes
Birth certificate	n/a		Yes
Change of name	0649	1	Yes
Change to annual advice fee	0410	2	Yes
Change to client bank details	0136	2	Yes
Client fee authority on top ups and regulars	0204	2	Yes
Change of registered contact (Jisa)	0316	2	Yes
Death certificate	n/a		Yes
Death claim declaration	0119	2	Yes
Declaration (individual new client)	0024	4	Yes
Declaration (Corporate & Trusts)	0027	3	Yes
Declaration Jisa (registered contact)	0314	2	Yes
Deed poll change of name	n/a		Yes
DFM client authority	0494	2	Yes
Direct debit mandates	various	1	Yes
Divorce certificate	n/a		Yes
Grant of probate	n/a		Yes
Inter account transfer - client authority	0212	1	Yes
Isa declaration (existing clients)	0145	2	Yes
Isa transfer	0020	2	Yes
Jisa transfer	0315	2	Yes
Marriage certificate	n/a		Yes
Medical forms (to support ill health requests)	n/a		Yes
Nomination of death benefit	0110	2	Yes
Nomination of death benefit (APP)	0119	2	Yes
Offshore bond application (Individual clients only)	0235	15	Yes
Offshore bond application (Trust and Corporate)	0918	21	Yes
Offshore bond top up form	0071	10	Yes

Documents acceptable for scanning

Document	Document number	Number of pages	Scanned document acceptable?
Offshore bond withdrawal / surrender request	0068	4	Yes
Onshore bond application	0156	8	Yes
Onshore bond deed of assignment	0123	4	Yes
Onshore bond top up form	0213	3	Yes
Onshore bond notification of lost policy schedule	0250	2	Yes
Onshore bond withdrawal/income request	0114	3	Yes
Pension discharge money out	0041	3	Yes
Pension drawdown form	0028	4	Yes
Pension sharing order	n/a		Yes
Pension transfer	0021	2	Yes
Power of Attorney	n/a		Yes
Reregistration authority	0784	2	Yes
Stock transfer form	0481	4	Yes
Trust deeds	n/a		Yes
Will	n/a		Yes
Withdrawal form (General, General gross and Isa)	0023	2	Yes

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



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www.nucleusfinancial.com

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