Corporate, trust and other entities declaration

Please note that this document forms part of your application for the Nucleus wrap and, together with the terms and conditions of the Nucleus wrap and your application constitutes a legally binding contract between you, Nucleus Financial Services Limited and the providers of any of the accounts in your Nucleus wrap. Please also note that throughout this declaration Nucleus Financial Services Limited and the providers of any of the accounts in the Nucleus wrap will be referred to collectively as 'Nucleus'. The defined terms in this document are references to the defined terms in the terms and conditions of the Nucleus wrap.

If anyone forgets to add a date to their signature, we'll treat the day we receive this form as the signing date.

Completing the form

Please ensure this form is completed accurately. If you are unclear about anything, please contact the Client relations team.

Returning the form

Please return the completed form via Jira messaging or by post to:

Nucleus,
PO Box 26968,
Glasgow,
G2 9DY

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

Additional Support

We recognise that personal circumstances, life altering events, or health issues could mean that you need some extra support. If there is anything we can do to help make dealing with us easier, please speak to one of our team and we'll work with you to put the right help in place. For more informaton on the types of support we can offer, visit nucleusfinancial.com/supporting-customers.

This declaration applies to corporate entities, trustees of pension schemes and any other non-individual client applications.

General Declaration

- I/We authorise Nucleus to accept investment instructions from the adviser identified on my/our application and confirm that this authorisation will remain in place until I/we advise Nucleus in writing to the contrary.
- I/We have received, read, understood and accept the key features and the terms and conditions for the Nucleus wrap, together with the key features, accompanying illustration(s) and any policy documents for the account(s) I am/we are applying for.
- I/We confirm my/our acceptance of the Nucleus fees as set out in the terms and conditions of the Nucleus wrap.
- I/We accept that Nucleus will normally correspond with the adviser.
- I/We understand that the Nucleus General account is provided by Nucleus Financial Services Limited.
- I/We understand that the Nucleus Onshore Bond account is provided by Countrywide Assured Plc.
- I/We understand that the Nucleus Offshore Bond account is provided by RL360 Insurance Company Limited.
- I/We duly acknowledge that Nucleus will act on investment instructions as provided by the adviser and that I/we have appropriate arrangements in place with the adviser in respect of any investment restrictions which must be observed on our account(s).
- I/We declare that neither I/we nor any beneficiary of the account is subject to US tax reporting or incorporated or based in the US. I/We accept that in such circumstances, Nucleus reserves the right to terminate its services under this contract.
- I/We declare that I am/we are not a politically exposed person(s) as defined in the Money Laundering Regulations 2007 as amended from time to time.
- I/We authorise Nucleus to hold our cash subscription, plan investments, interest, distributions and any other rights or proceeds in respect of those investments and any other cash element in my/our Nucleus account(s).

Trust Registration Service (TRS)

You must provide a copy of the trust 'proof of registration' document with your application if the trust is registrable with the TRS.

☐ I have provided a copy of the trust 'proof of registration' document with my application

☐ The trust is exempt from registering with the TRS

Failure to provide the proof of registration document or confirm exemption will delay your application being accepted.

Tax residency

- I/We confirm that I/we have provided my/our adviser with confirmation of my/our tax residency status and which country/countries I/we am/are registered for tax purposes in.
- I/We understand that Nucleus may be required to disclose this information to relevant third parties.
- Where required, I/we confirm that I/we have provided the necessary information regarding all controlling persons of this entity.
- I/We will inform Nucleus promptly of any change to my/our tax residency status and/or controlling persons information.

Client categorisation (please tick one box)

I/we can confirm that I/we wish to be categorised as a

☐ Retail client ☐ Professional client

Retail clients receive the highest level of FCA protection including access to the Financial Ombudsman Service and Financial Services Compensation Scheme. It is therefore important to remember that if you elect another option you may be entitled to lesser compensation and regulatory protection.

Data Protection

I/We understand that the information in my/our application and any supplementary information provided by me/us and/or my adviser, will be used by Nucleus to:

- Set up and administer my/our Nucleus wrap account and associated accounts.
- Send me/us information relating to my/our plan(s).

Declaration for Sipp and Ssas pension trustees only

1. It is hereby agreed that any liability of the client and

   _____ *

   * (the "Sipp/Ssas trustee/pension scheme").

   shall be limited to the value of the assets within

   _____ **

2. as at the date any liability arises. Nucleus shall not be entitled to recover any claims against the client nor the Sipp/Ssas trustee/pension scheme which exceed the value of the assets held within the Sipp account at the date any liability arises except in the case of wilful default, negligence, fraud of the client or Sipp/Ssas trustee/pension scheme.
3. Should any act or omission of any third party custodian or sub-custodian, in whose custody the assets are held, cause actual loss to the trustees of the Sipp, the client or Sipp/Ssas trustee/pension scheme, Nucleus will take such steps as are reasonable in the circumstances to mitigate and recoup such loss pursuant to their contractual relationship with the third party custodian or sub-custodian.
4. Any limitation on the liability of Nucleus within the agreement shall not be so limited in the case of wilful default, negligence or fraud of Nucleus.
5. Sipp/Ssas trustee/pension scheme is the professional trustee for the Sipp/Ssas trustee/pension scheme and we acknowledge that any monies held in the Nucleus General account will be covered under the appropriate client money rules, as prescribed by the FCA.
6. Sipp/Ssas trustee/pension scheme confirm that appropriate arrangements are in place with the appointed adviser firm in regards to asset selection appropriate for the Sipp/Ssas trustee/pension scheme.

*Insert name of Sipp/Ssas trustee/pension scheme.
**Insert client name and/or full reference number.

Indemnity

I/We understand that whilst Nucleus shall exercise due care and diligence in the management of my/our Nucleus wrap, and, subject to Section 150 of the Financial Services and Markets Act 2000, despite Nucleus' obligations as a company authorised and regulated by the Financial Conduct Authority and as otherwise provided in the terms & conditions of the Nucleus wrap, Nucleus shall not be liable to me/us, nor will they compensate me/us, for any loss arising as a result of them doing (or not doing) anything in reliance upon an instruction given (or which they reasonably believe to be given) by me/us, my adviser, or my/our authorised representative.

I/We agree that Nucleus will not be liable for any reduction in the value of my/our Nucleus wrap resulting (either directly or indirectly) from the acts or omissions of Nucleus, its agents or nominees, or those of any third party, where they have relied on instructions given (or which Nucleus reasonably believe to be given) by myself/ourselves or my/our authorised representative. I/We will reimburse Nucleus for any losses, liabilities and/or reasonable expenses which arise in such circumstances except where this arises as a result of their gross negligence, wilful default or breach of any statutory obligations.

Account selection

Please ensure you tick the boxes alongside the relevant accounts being applied for.

☐ **Nucleus General account**

I/We apply for the Nucleus General account on the terms and conditions as set out in the Nucleus terms and conditions

☐ **Nucleus Onshore Bond account**

I/We apply for the Nucleus Onshore Bond account on the terms and conditions as set out in the Nucleus Onshore Bond account terms and conditions.

I/We declare that

- To the best of my/our knowledge and belief all of the statements I/we have given are true and complete and, together with the Nucleus terms and conditions and the policy schedule, will form the basis of the contract between me/us and Countryside Assured Plc.
- I/We understand the taxation law can change and Countryside Assured Plc can provide no guarantee as to the tax treatment of this policy in the future.
- I/We understand that future tax changes may be retrospective.
- I/We confirm that I am/we are not relying on advice from Countryside Assured Plc or any of their representatives.

Please remember that failure to disclose any material facts (even if they are outside the scope of the questions asked) may result in the contract being ineffective even if Countryside Assured Plc accept the application. Material facts are those that Countryside Assured Plc would regard as likely to influence the assessment of your application. If you are in any doubt as to whether a fact is material, you should disclose this to Nucleus at the time of application.

☐ **Nucleus Offshore Bond account**

I/We apply for the Nucleus Offshore Bond account and confirm that I/we have completed the application form for the Nucleus Offshore Bond account.

Trust bank account

We the undersigned trustees request that the following bank account is aligned to the above Nucleus account(s).

Sort code

Account number

Name of bank account holder

We acknowledge that this is an account belonging to the (tick as required):

☐ trustee

☐ beneficiary

☐ the solicitor

☐ the settlor

and confirm that at present we do not have a trust bank account set up.

We accept there may be implications of trust monies being paid to a non-trust bank account and accept full responsibility for the tax consequences of this. We acknowledge that payment to a third party is a deviation from the Nucleus terms and conditions, and that Nucleus can refuse to make any future payment to a third party at its complete discretion..

Fees

☐ I/We authorise Nucleus to pay our adviser the fees as set out in the table below

Fee type (£ or %)	General account	Onshore Bond account	Offshore Bond account
Account number			
Annual adviser fee	£ %	£ %	£ %
Initial fee: Lump sum one	£ %	£ %	£ %
Initial fee: Lump sum two	£ %	£ %	£ %
Initial fee: Lump sum three	£ %	£ %	£ %
Initial fee: Regular contribution	£ %	n/a	n/a

If you have agreed to pay ongoing adviser charges on a flat fee basis, please note:

Charges accrue daily and are calculated using an annual rate, so the amount deducted each month may vary depending on the number of days in that period. As a result, the monthly payment may be slightly higher or lower than expected.

Signature(s)

I/We hereby declare that the contents of this declaration are true and accurate and have been completed to the best of my/our knowledge, information and belief and I/we make the declarations and give the authorisations set out above.

I/We can confirm that I/we have read and understood the general declaration, client categorisation and data protection sections detailed in this declaration.

I/We understand that a completed version of the online application and this declaration are available on request.

I/We acknowledge that it is a serious offence to make false statements. False statements made in this declaration could lead to prosecution.

First signature

Print name

Date

Second signature

Print name

Date

Third signature

Print name

Date

Fourth signature

Print name

Date

Note: all individual trustees must sign so if there are more than four please photo copy the this page and delete the trustee numbers and replace as necessary. For the Onshore bond, no more than four trustees can be appointed.

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 www.nucleusfinancial.com

"Nucleus", "NFS" and "Nucleus Financial Services" are the trading names of Nucleus Financial Services Limited (NFS) (registered in England number 05629686); Nucleus Financial Limited (NF) (registered in England number 05522098); Nucleus Trustee Company Limited (NTC) (registered in Scotland number SC312652); and NFS (Nominees) Limited (NFSN) (registered in England number 07621355). NFS, NF and NFSN have their registered office at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. NTC has its registered office at 12 Blenheim Place, Edinburgh EH7 5JH. NFS is authorised and regulated by the Financial Conduct Authority. NFS and NF are members of a VAT group with VAT registration number 514 0358 80. NFS, NF, NTC and NFSN are all wholly owned subsidiaries of Nucleus Financial Platforms Limited (registered in England, number 06033126) whose registered office is at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. All companies are members of the Nucleus Group. Further details of the Nucleus Group can be found at nucleusfinancial.com. (12/24)

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