



nucleus^o platform

Investment manager appointment form (For Nucleus Flexi SIPP and Nucleus Modular iSIPP only)

Please complete this form in BLOCK CAPITALS and return it by:

- **post** to Nucleus, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB, or
- **secure message** via your online account with us.

If you need any help, please call your Customer Support Team or our general enquiry number 03455 212 414.

Using this form

Please use this form if you wish to open an account with an investment manager within your SIPP. You must complete and sign the declaration in Section 4.

In addition to this form, you will also need to provide to us all documentation required by the investment manager to open the account, including its terms of business. This is because the account will be held in the name of our scheme trustee and the agreement to open and operate the account is therefore between the investment manager and the scheme trustee. We will sign and forward these documents to the investment manager along with this application form.

Section 1 - Personal details

Title

Forename(s)

Surname

Product number

Date of birth (DD/MM/YYYY)

Address

Postcode

Email

Section 2 - Product type

Please indicate which product you wish the investment manager to be appointed to:

Nucleus Flexi SIPP

Nucleus Modular iSIPP

Section 3 - Investment manager details

Name of the investment manager

Address

Postcode

Contact name

Telephone number

Email

Authorisation number

Basis of appointment:

Execution only

Advisory

Discretionary

Account types

Execution Only - Your appointed investment manager carries out trades on your or your adviser's instructions without providing you with investment advice.

Advisory - Your appointed investment manager provides investment advice which you or your adviser may choose to act upon, and carries out trades in accordance with your instructions.

Discretionary - Your appointed investment manager makes investment decisions on your behalf, executes trades, and periodically reports on the investments made and the performance of assets in your account.

Next steps

Once the account with the investment manager is opened, please use your online Nucleus account to transfer an amount to your investment manager from your SIPP cash account.

In order to set up a regular transfer, please submit a written instruction to us via post or secure message, confirming the amount, frequency and start date.

If you wish to instruct an in-specie transfer of assets from your current investment manager to your new account, please submit a clear, written instruction via post or secure message.

Section 4 - Customer declaration(s)

Before signing this form please read the declarations below carefully.


I hereby request Nucleus appoints the above named investment manager to my SIPP. I accept and agree that:


- I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of my Nucleus SIPP. Where my account is operated on an Execution Only or Advisory basis, I accept that it is the joint responsibility of myself and my adviser to ensure that any investments purchased comply with the Permitted Investments List for my SIPP, as updated from time to time.
- I will reimburse Nucleus for any costs or losses it incurs as a direct result of my investment decisions or instructions and any decisions of my adviser or the appointed investment manager.
- Nucleus has not carried out, and will not in future carry out, any review of my appointed investment manager's financial status, their investment and/or risk strategies, nor will Nucleus monitor the ongoing performance of them. I am, or my adviser is, responsible for checking these matters and ensuring that the investment manager is suitable for my investment objectives.
- My investment manager will be bound by the investment manager terms of business agreed with Nucleus. I will not take any action, intentionally or otherwise, or instruct my investment manager to take any action that results in a breach of those terms.
- I have read and accept the terms and conditions and charges schedule of the investment manager I wish to appoint.


Customer's signature

Print name

Date (DD/MM/YYYY)

 03455 212 414

 ask@nucleusfinancial.com

 nucleusfinancial.com

For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 03455 212 414, or via the Typetalk service on 18001 03455 212 414.

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