nucleus

Nucleus platform user guide

Nucleus forms: e-signature requirements

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Introduction

We accept e-signatures for new business and client instructions, making the process faster and reducing reliance on the postal service. And, our flexible approach means you can use a choice of e-signature software providers, as long as they're on our preferred list.

For security reasons, e-signed instructions must be submitted by Jira. Any instructions received by email or post will not be processed. Please also ensure that all documentation is correctly completed otherwise this may cause a delay in processing.

This document should be read in conjunction with the Nucleus terms of business which can be found under the 'general documents' section of the platform library.

Before you get started

This guidance details the actions you need to take before submitting instructions to us with an e-signature. It's important you read through the following information carefully, to help you get set up correctly, and avoid any unnecessary delays when submitting an instruction. For clarity, we've provided a full list of the documents we'll accept with an e-signature and the documents where a handwritten signature is still required.

E-signature types we accept

We'll always keep clients' security at the heart of any process improvements, which is why we'll only accept e-signatures from software providers that operate within Electronic Identification, Authentication and Trust Services (eIDAS) regulation and comply with the Electronic Communications Act 2000.

The eIDAS regulation creates standards for the use of electronic signatures so that they can be used in a secure manner when conducting business online. The regulations state two e-signature types, each of which provide secure methods of validation and protection for your clients.

- Advanced electronic signatures
- Qualified electronic signatures

Advanced electronic signatures are reliably linked to the person signing the document and can detect any changes made afterwards. An advanced electronic signature must be:

- uniquely linked to the signatory;
- capable of identifying the signatory;
- created using electronic signature creation data that the signatory can, with a high level of confidence, use under their sole control; and
- linked to the data signed therewith in such a way that any subsequent change in the data is detectable.

Qualified electronic signatures have the same features as advanced electronic signatures, but are created using more sophisticated technology, meet a higher standard of security, meet stricter validation criteria, and are supported by a more detailed certificate. Qualified electronic signatures must:

- be offered by a qualified trusted service provider;
- meet the specific requirements for an advanced signature;
- be created using a qualified creation device; and
- be supported by a qualified certificate.

Choosing an e-signature software provider

Investor protection is the top priority when choosing the right e-signature software provider. Our flexible approach means you can choose from the following list of eiDAS approved providers.

Software provider	Provider address	Advanced	Qualified	Accepted by RL360 and Countrywide Assured	Audit history/completion certificate
Adobe Sign*	acrobat.adobe.com/uk/en/sign.html	✔	✔	✔	https://helpx.adobe.com/sign/using/audit-reports-transaction-history.html
DocuSign	docusign.co.uk	✔	✔	✔	https://support.docusign.com/s/document-item?language=en_US&bundleId=oeq1643226594604&topicId=zqd1578456343466.html
PandaDoc	pandadoc.com	✔			https://support.pandadoc.com/hc/en-us/articles/360007915133--Classic-Editor-Signature-certificate-of-completed-documents
SignNow	signnow.com	✔			https://www.signnow.com/features/e-sign-and-use-document-certificate-of-completion
Dropbox Sign	hellosign.com	✔			https://www.hellosign.com/trust/security/audit-trails
Advicefront	advicefront.com	✔			Please see Advicefront's system demo
E-sign	e-sign.co.uk	✔			Please see E-sign's system demo
DocSafe	doc-safe.co.uk	✔			Please see DocSafe's system demo
AlphaTrust	alphatrust.com	✔			Please see AlphaTrust's system demo
Signable	signable.co.uk/esignatures-explained/	✔			Please see signable website for details
ZoHo	zoho.com/sign/electronic-signatures/legality/united-kingdom.html	✔	✔		Please see ZoHo website for details

* We do not accept e-signatures from Adobe fill and sign.

Audit history/completion certificates

For added security, when you submit an instruction to us, you must also include the audit history or completion certificate from your e-signature provider. This will include a time and date stamp as well as an audit trail to show us who has signed the document. For more information, we've provided links from our approved software providers in the table above.

Sending us your audit history/completion certificates

All e-signed instructions should be sent to us via Jira messaging. All of our preferred e-signature providers offer functionality that means the completion certificate will be automatically included as the final page of the e-signed document, and we would prefer if you could submit these documents to us like this. However, we appreciate that there are certain scenarios that prevent this, and the completion certificate is a separate document, so we'll be able to accept these if they're included in the same Jira request.

Please note, we will not accept any documents that have been edited after they've been signed.

Applications will be rejected if the audit history/completion certificate is not provided, so please make sure you include this as part of your instruction to us.

Offshore and Onshore Bond applications and top ups

If you wish to carry out an instruction for an Offshore or Onshore Bond application or top up, our respective bond providers, RL360 and Countrywide Assured will only accept e-signatures from Adobe Sign and DocuSign.

Offshore Bond e-signature requirements

For Offshore Bond applications and top ups, we can only accept individual applications (single or joint ownership) with an e-signature. Offshore Bond corporate and trust applications must be submitted with a handwritten signature.

Validation against primary email addresses

The email address used by your client(s) to sign any Offshore Bond applications or top ups must match the email address that we hold on the client(s) record. To avoid applications being rejected, please check your client's primary email address on the platform before you submit your instruction.

To check or add a primary email address, simply:

- Log in to the platform and search for your client
- Click on their name in the wrap summary section
- Scroll down to the email address section on the view client page
- If we hold an email address it's displayed here
- Click on the pencil icon to add an email address, if required
- Save as the primary email address.

Nucleus Go notifications

If you've changed the client's primary email address, you need to be aware that Go notifications will be sent to the new email address.

Steps to take when submitting an instruction with an e-signature

You can submit an instruction with an e-signature by following the steps below:

1. Provide the client with the relevant form from the platform library via the e-signature software.
2. When the signed form is received from the client, validate the content with them.
3. Once complete, raise the following Jira messaging instruction: Issue type: client request>new business/top up [name of form(s)].
4. Select the software provider used from the 'How was this paperwork attached signed' dropdown.
5. Attach the approved PDF document and make sure an audit history/completion certificate is also included. Jira is the most secure method of electronic delivery, so please don't send these documents by email or post.
6. Please only send one Jira per client, unless a joint account submission. Once created, the Jira is then automatically assigned to the firm's project lead as high priority.

Additional verification

For certain instructions and to mitigate the risk of fraud e.g. withdrawals, you may wish to validate the signature directly with your client.

Instructions where a third party is involved

Third parties may not accept e-signatures e.g. ceding companies and fund managers for transfers and re-registrations. Before sending any transfer documents to us, you should check the ceding company's requirements. Please note that we cannot be held liable for any delays as a result of this advice not being followed.

Documents that need to be witnessed

Unfortunately, we can't accept e-signatures for instructions where the signature of a witness is required e.g. trust documents.

Documents we accept with an e-signature

Document	Document number	Signatory	e-signature accepted?
Ad-hoc fee – client authority	0160	Client	Yes
Ad-hoc fees - ongoing authority form	0548	Client	Yes
AML (individual)	0016	Adviser	Yes
AML (corporate and other non-personal entity	0017	Adviser	Yes
APS declaration	0270	Client	Yes
APS transfer authority form	0358	Client	Yes
Change to annual advice fee	0410	Client	Yes
Change of bank details	0136	Client	Yes
Client fee authority on top ups and regulars	0204	Client	Yes
Change of registered contact (Jisa)	0316	Registered contact	Yes
Controlling person – self-certification	0354	Client / adviser	Yes
Death claim declaration	0119	Executor / Beneficiary	Yes
Declaration (individual new client)	0024	Client	Yes
Declaration (Corporate and Trusts)	0027	Client / trustees	Yes
Declaration Jisa (registered contact)	0314	Registered contact	Yes
DFM client authority	0494	Client	Yes
Direct debit mandates	Various	Client / employer	Yes
Entity – self-certification	0352	Client / adviser	Yes
Individual – self-certification	0353	Client / adviser	Yes
Inter account transfer – client authority	0212	Client / adviser	Yes
Isa declaration (existing clients)	0145	Client / adviser	Yes
Isa transfer	0020	Client	Origo transfer - yes Non-Origo - at ceding company's discretion
Jisa transfer	0315	Registered contact	Origo transfer - yes Non-Origo - at ceding company's discretion
Letter of authority (change in adviser and/or information only) from a Nucleus firm	n/a	Client	Yes
Letter of authority (change in adviser) including an Offshore Bond account from a Nucleus firm	n/a	Client	Yes - only via DocuSign or Adobe Sign
Nomination of death benefit	0110	Client	Yes
Nomination of death benefit (APP)	0119	Client	Yes
Offshore bond application - Individual applications only (single or joint ownership)	0235	Client	Yes - only via DocuSign or Adobe Sign and for Individual applications only (single or joint ownership)
Offshore bond top up form - Individual applications only (single or joint ownership)	0071	Client	Yes - only via DocuSign or Adobe Sign and for Individual applications only (single or joint ownership)
Onshore bond application	0156	Client	Yes - only via DocuSign or Adobe Sign
Onshore bond top up form	0213	Client	Yes - only via DocuSign or Adobe Sign

Document	Document number	Signatory	e-signature accepted?
Onshore bond withdrawal / income request	0114	Client / adviser / trustees	Yes - only via DocuSign or Adobe Sign
Pension drawdown form	0028	Client / adviser	Yes
Pension discharge money out	0041	Client	Yes
Pension transfer	0021	Client	Origo transfer - yes Non-Origo - at ceding company's discretion
Reregistration authority (full transfers only)	0784	Client	Origo transfer - yes Non-Origo - at ceding company's discretion
Reregistration authority (system pre-populated)	n/a	Client	Origo transfer - yes Non-Origo - at ceding company's discretion
Transfers – ceding company discharge form	n/a	Client	At ceding company's discretion
Withdrawal form (General, General gross and Isa accounts)	0023	Client / adviser / trustees	Yes

Documents we will only accept with a handwritten signature

Document	Document number	Signatory	e-signature accepted?	Reason for exclusion
Change of name	0649	Client	No	To capture client's new signature for future verification
Crest transfer form	0480	Client	No	Non-Nucleus form
IHT 423	n/a	Executors	No	Non-Nucleus form
Letter of authority (change in adviser and/ or information only including data subject access request) from a non-Nucleus firm or direct client	n/a	Client	No	Additional fraud prevention controls are required
Offshore bond application - corporate and trust applications only	0918	Client / trustees	No	Bond provider requirement
Offshore bond top up form - corporate and trust applications only	0071	Client	No	Bond provider requirement
Offshore bond withdrawal / surrender request	0068	Client/ trustees	No	Bond provider requirement
Onshore bond deed of assignment	0123	Client	No	The signature needs to be witnessed for legal reasons
Onshore bond trust deed	n/a	Client / trustees	No	The signature needs to be witnessed for legal reasons
Onshore bond (SFA) deed of assignment	0394	Client	No	The signature needs to be witnessed for legal reasons
POA / LPOA	n/a	Client	No	The signature needs to be witnessed for legal reasons
Stock transfer form	0481	Client	No	Non-Nucleus form

Contact us

If you've any questions on our e-signature requirements, please don't hesitate to contact your regional client relations manager or check out our contact us page: nucleusfinancial.com/contact

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.

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