



Form of authority for General Investment Account

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 to request settlement of a deceased Nucleus customer's General Investment Account (GIA). This form should be signed by all executors of the estate.

Please note that if any party signs but fails to date a signature, the date that Nucleus receives this form will be deemed to be the date that the party signed this agreement.

To assist with completing this claim form, a sealed copy of the Grant of Probate/Letters of Administration is required in most cases, and payment can't be made until this has been received. The application for Probate can take some time to complete, so please bear this in mind when making arrangements.

Data protection

The personal data supplied to us about you will be held on our records to enable us to deal with you as a third party authority. You can access full details on what to expect when we process your personal data in our group Privacy Notice, which is available on our website at nucleusfinancial.com/privacy-notice or by calling us on 03455 212 414.

Section 1 - Deceased customer's details

Deceased customer's name

GIA product number

Section 2 - Details of the Executor(s)

Important: Please ensure that all named Executor(s) of the estate sign and print their name(s) on this form giving Nucleus Financial Services Limited the authority to process this instruction. Please note that without all signatures we're unable to proceed.

Executor 1

Title

Full name

Date of birth (DD/MM/YYYY)

Permanent address

Postcode

Executor 2 (if applicable)

Title

Full name

Date of birth (DD/MM/YYYY)

Permanent address

Postcode

Executor 3 (if applicable)

Title

Full name

Date of birth (DD/MM/YYYY)

Permanent address

Postcode

Executor 4 (if applicable)

Title

Full name

Date of birth (DD/MM/YYYY)

Permanent address

Postcode

Please note: We'll also need evidence of identity for each executor named on the Probate document.

Please refer to the 'Checklist of documentation required' section, at the end of this form to check the information you will need to supply for each option.

Section 3 - Payment options

Please indicate which payment option the executor(s) wish(es) to take:

Re-register the assets

Please now complete Section 4

Sell the assets

Please now complete Section 5

Section 4 - Disinvestments - Re-register the assets

I/We hereby give instructions to re-register the assets held in the Nucleus GIA to the named beneficiaries and to forward any cash as per the instructions given below:

Name of asset	Asset to be re-registered in the new name(s) of:	Transferee's GIA reference number	Amount (number of units/shares or % of existing holding)

Specific instructions:

Please note that we are not responsible for any charge or penalty in respect of disinvestments from a third party.

Section 5 - Disinvestments - Sell the assets

I/We hereby give instructions to sell the assets held in the Nucleus GIA and to forward any cash to the bank account details provided in Section 5b:

You can read our Order Execution Policy on our website for information on how we transmit your instructions to investment providers.

Section 5b - Bank account details

Please provide us with the bank/building society details to which the payment is to be made. This account must be able to accept Faster Payments and CHAPS payments.

UK bank account details

Account holder's name

Account number

Sort code

- -

Building society reference number (if applicable)

Bank name and address

Postcode

Payment reference

International bank account details

IBAN/Account number

Payee

Bank name and address

Postcode

Intermediary bank/Swift code

Swift code

Beneficiary bank code

Routing number (if USA)

Currency

Section 6 - Declaration

By signing this declaration I/we authorise Nucleus to re-register or sell the assets in this GIA in line with the instructions on this form.

I/We confirm that I am/we are entitled to give the instructions set out in this form. I/We accept responsibility for the use and distribution of the investments or cash proceeds, and acknowledge that Nucleus will not be responsible for whether they are applied in accordance with the requirements of the deceased's estate. I/We agree to reimburse Nucleus for any loss it may suffer as a result of acting on my/our instructions.

I/We acknowledge that once the holdings within the above GIA are re-registered or sold and withdrawn the product will be closed.

I/We confirm that to the best of my/our knowledge and belief, the information given on this application form is correct. I/We accept it is an offence to make false statements and that the penalties are severe and could lead to prosecution.

Executor 1 signature

Print name

Date (DD/MM/YYYY)

Executor 2 signature (if applicable)

Print name

Date (DD/MM/YYYY)

Executor 3 signature (if applicable)

Print name

Date (DD/MM/YYYY)

Executor 4 signature (if applicable)

Print name

Date (DD/MM/YYYY)

Checklist of documentation required

Please send photocopies of the documentation to us at Nucleus, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB.

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Evidence of your identity


Black and white photocopies of two documents - one from list A and one from list B. (Items from the same source cannot be used twice).

List A


- Unexpired passport
- Unexpired UK old style driving licence (not provisional)
- Unexpired UK photocard driving licence
- Firearms certificate or shotgun licence
- EEA or Switzerland National identity card
- Northern Ireland voters card.

List B

- Unexpired UK old style driving licence (not provisional)
- Unexpired UK photocard driving licence
- Council tax bill dated within the last 12 months
- Firearms certificate or shotgun licence
- Credit card or bank statement dated within the last three months (not internet printed)
- Utility bill dated within the last three months (not mobile phone, satellite/cable TV or internet printed bills)
- HM Revenue & Customs coding/assessment/statement/tax credit
- Northern Ireland voters card.

 03455 212 414

 ask@nucleusfinancial.com

 [nucleusfinancial.com](https://www.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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