

For advisers

Our new
platform

nucleus^o platform

How to process
a GIA single
payment and
transfer payment
top up application

 3 minute read



How to process a GIA single payment and transfer payment top up application

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How to use this document




Important information will look like this.

Key messages

Key messages will look like this.



Useful info will look like this.

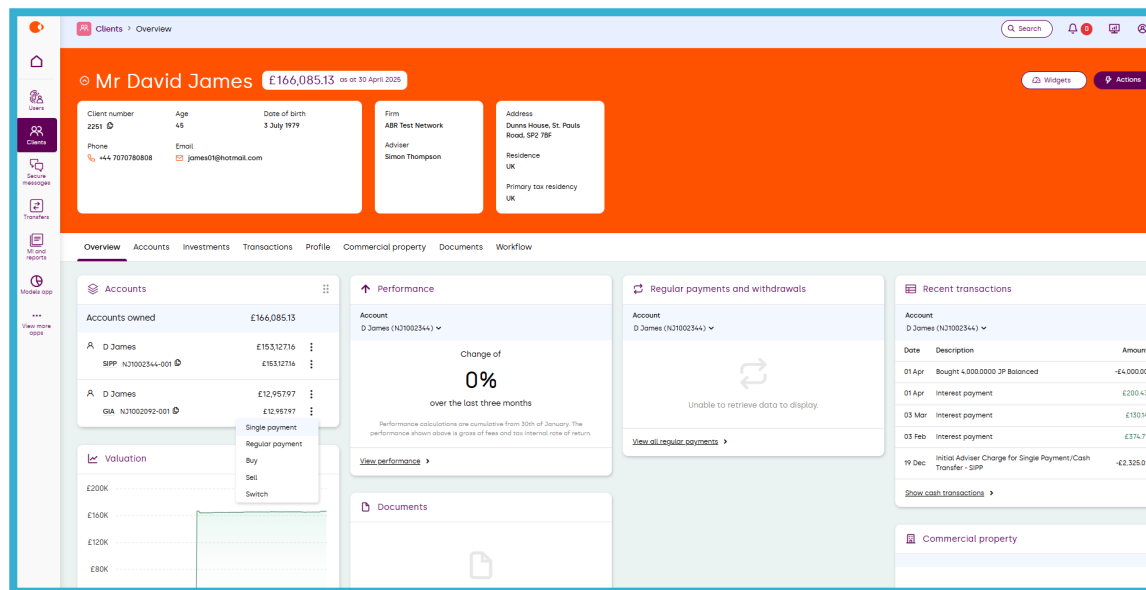
 We recommend using the zoom function to view the details on the platform screens in this guide.

How to process a GIA single payment and transfer payment top up application

To start the GIA top up application, you first need to find your client. Please refer to the guides on our website to search for a client or create a new client.

From the client home page, within accounts, select the vertical ellipsis (three dots) on the GIA account.

A list of actions will appear. To create the top up application, select **'Single payment'**.



Key message

At any stage of the top up application, you can save and exit the application.

To resume the top up application, navigate to the workflow tab within the client's account.

Payments in

Confirm if financial advice has been provided to the client.

Key message

You can select a top up payment and transfer in within the one application journey.

Single payments

Select 'Yes' or, if no single payment is required, set as no.

Enter single payment details.

The payment method will automatically default to bank transfer.



Single payments must be made by bank transfer to the bank details displayed on the page. The details can also be found on our website. Your client's account number, which will be shown at the end of the application, should be used as the payment reference.

Failure to provide a payment reference may delay allocating and returning payments.

The screenshot shows the 'Payments in' screen in the Nucleus system. The header includes the Nucleus logo and the client name 'David James' with ID '2251' and product reference 'NJ1002092-001'. The main content area is divided into three sections: 'Financial advice', 'Single payment in', and 'Client'. The 'Financial advice' section has a question 'Did you give financial advice to your client in relation to this instruction?' with 'Yes' selected. The 'Single payment in' section has 'Yes' selected and a blue callout box with bank transfer details: Bank account name: Nucleus Financial Services Limited, Sort code: 09-02-22, Account number: 11095141, and Payment reference instructions. The 'Client' section shows a 'Single payment' of £1500 and a 'Payment method' of 'Bank transfer'. On the right, a 'Single payments/transfers' sidebar lists steps: 1. Payments in, 2. Adviser charges, 3. Investment selection, 4. Review, 5. Documents and declarations, 6. Confirmation. At the bottom of the sidebar are buttons for 'Save and exit', 'Cancel', and 'Continue'.

Transfer payments

Select either 'No' or 'Yes'.

Enter the transferring scheme's name into the search bar and select the provider from the results.

Key message

If you're unable to locate the transferring scheme using the search bar, you can add the details manually by selecting '**Add provider manually**'. Please be aware that adding a transferring scheme manually when it is available from the search bar may lead to delays in processing the transfer.


Select '**Cash**' or '**Re-register assets**'.

The screenshot displays the 'Transfers' section of the application. It includes a 'Transfer in' section with radio buttons for 'No' and 'Yes', where 'Yes' is selected. A yellow warning box states: 'Your client must sign a transfer authority form for each transfer.' Below this is the 'Transfer 1' section, which contains a search bar for the 'Transferring scheme' (showing 'James Hay Pension Trustees Limited') and an 'Add provider manually' button. The 'Electronic transfer supported?' field is set to 'No'. The 'Transfer type' section has radio buttons for 'Cash' (selected) and 'Re-register assets'. The 'Estimated current value' is set to '£ 2000'. The 'Transferring account number' is '123456'. The 'Full or partial transfer' section has radio buttons for 'Full' (selected) and 'Partial'. There is an 'Add another transfer' button. The 'Source of wealth' section has a dropdown menu set to 'Savings/investments'. On the right side, a sidebar shows a progress list: 1. Payments in, 2. Adviser charges, 3. Investment selection, 4. Review, 5. Documents and declarations, 6. Confirmation. At the bottom of the sidebar are buttons for 'Save and exit', 'Cancel', and 'Continue'.

Cash transfer

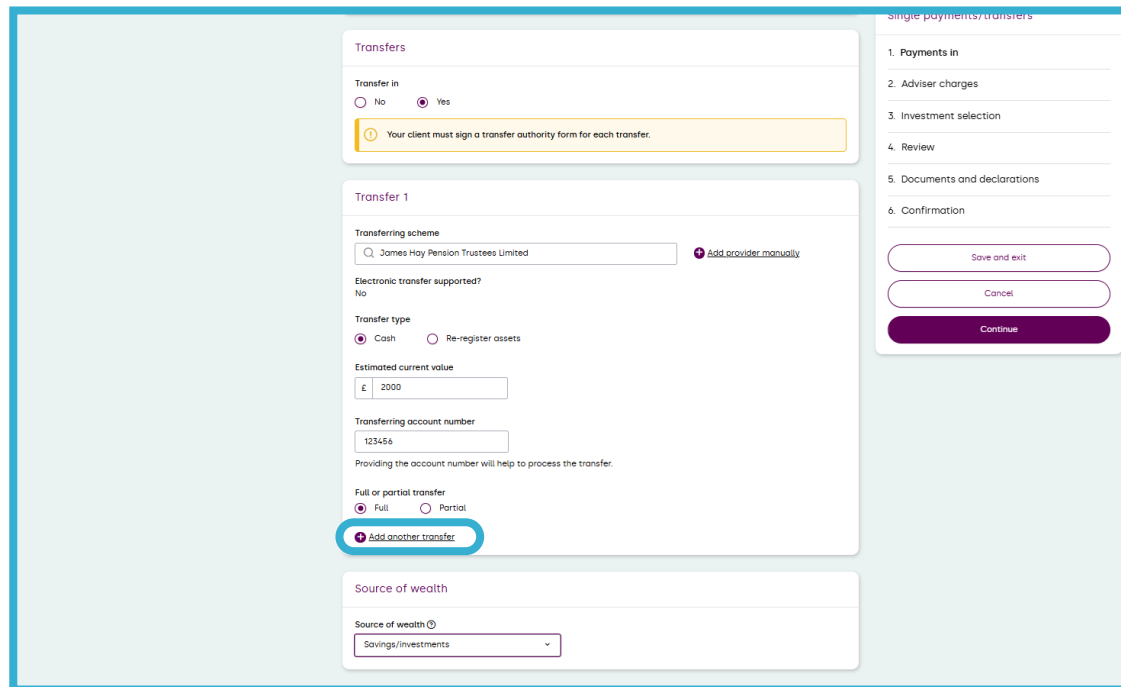
Enter the transfer value and transferring account number.

Confirm if this if this is a full or partial transfer.



You can add multiple transfers from different providers by selecting **'Add another transfer'**.

Select the source of wealth from the drop-down list.



The screenshot shows a web form for processing a transfer. It is divided into several sections:

- Transfers:** A section with radio buttons for "No" and "Yes". The "Yes" option is selected. Below it is a yellow warning box: "Your client must sign a transfer authority form for each transfer."
- Transfer 1:** A section for entering details for the first transfer.
 - Transferring scheme:** A search box containing "James Hay Pension Trustees Limited" and a link "Add provider manually".
 - Electronic transfer supported?:** A dropdown menu set to "No".
 - Transfer type:** Radio buttons for "Cash" (selected) and "Re-register assets".
 - Estimated current value:** A text box with "£ 2000".
 - Transferring account number:** A text box with "123456". Below it is a note: "Providing the account number will help to process the transfer."
 - Full or partial transfer:** Radio buttons for "Full" (selected) and "Partial".
 - Action:** A purple button with a plus sign and the text "Add another transfer" is highlighted with a red circle.
- Source of wealth:** A dropdown menu with "Savings/investments" selected.
- Single payments/transfers:** A sidebar on the right with a progress indicator showing six steps: 1. Payments in, 2. Adviser charges, 3. Investment selection, 4. Review, 5. Documents and declarations, 6. Confirmation. At the bottom of the sidebar are three buttons: "Save and exit", "Cancel", and "Continue".

Re-register assets transfer

The total estimated transfer value will populate based on information provided further down the page.

Enter the transferring account number and confirm if this is a full or partial transfer.

The screenshot shows a web interface for processing a transfer. At the top, there is a 'Transfer In' section with radio buttons for 'No' and 'Yes', where 'Yes' is selected. Below this is a yellow warning box with an information icon and the text: 'Your client must sign a transfer authority form for each transfer.' The main section is titled 'Transfer 1' and contains several fields: 'Transferring scheme' with a search box containing 'James Hay Pension Trustees Limited' and a '+ Add provider manually' link; 'Electronic transfer supported?' with the value 'No'; 'Transfer type' with radio buttons for 'Cash' and 'Re-register assets', where 'Re-register assets' is selected and circled in blue; 'Total estimated transfer value' with the value '£7,039.60'; 'Account number' with an empty input field and a note below it: 'Providing the account number will help to process the transfer.'; and 'Full or partial transfer' with radio buttons for 'Full' and 'Partial', where 'Full' is selected. On the right side, there is a sidebar titled 'Single payments/transfers' with a list of steps: 1. Payments in, 2. Adviser charges, 3. Investment selection, 4. Review, 5. Documents and declarations, and 6. Confirmation. At the bottom of the sidebar are three buttons: 'Save and exit', 'Cancel', and 'Continue'.

Enter the investment name into the search bar. Select the investment from the results.



You can use the fund name, ISIN or SEDOL number to search for a fund. If any fund you require is suspended, please contact us.

Enter each asset's units.

Enter the cash portion of the transfer, if applicable.



You can add multiple transfers from different providers by selecting '**Add another transfer**'.

Confirm the source of wealth from the drop-down list.

Once you're happy with your payment preferences, select '**Continue**' to move on to the adviser charges page.

Assets to be re-registered

Funds Exchange traded Other investments

☆ Favourites

Advanced search

Code	Investment	Quantity (units)
CSF5.GB	Baillie Gifford China B Acc	1000
BFA6.GB	7IM AAP Moderately Adventurous C Inc	1000

ⓘ If more units are held than specified, we'll transfer all units held for this account number.

Cash portion of the transfer

£ 250

+ Add another transfer

Source of wealth

Source of wealth ⓘ

Savings/investments

3. Investment selection

4. Review

5. Documents and declarations

6. Confirmation

Save and exit

Cancel

Continue

Adviser charges

If you're applying for an initial adviser charge, please select '£' or '%' and enter the amount for each payment.

If there are no adviser charges to be deducted, enter zero into the fields.



Estimated adviser charges will be visible during the application. Accurate charges will be deducted from the product upon completion of the top-up.

Key message

For more information about adviser charges, visit our website.

Once you're happy with your adviser charge preferences, select '**Continue**' to move on to the investment selection page.

The screenshot shows the 'Adviser charges' section of a web application. The page title is 'Single payment / transfer Adviser charges'. The user's name is 'David James', Client ID is '2281', Product reference is 'N31902092-901', and Product is 'GIA'. The form contains two 'Initial adviser charge' sections. The first section is for 'cash transfers and single payments' with a charge amount of '0.75' and a selected charge type of '%', resulting in an estimated charge of '£11.25'. The second section is for 're-registration transfers' with a charge amount of '0.5' and a selected charge type of '%', resulting in an estimated charge of '£25.45'. On the right side, there is a 'Single payments/transfers' progress bar with six steps: 1. Payments in (checked), 2. Adviser charges (current step), 3. Investment selection, 4. Review, 5. Documents and declarations, and 6. Confirmation. At the bottom right, there are three buttons: 'Save and exit', 'Cancel', and 'Continue'.

Investment selection

Confirm if the top up application will be invested into current or new assets.

Current assets

The current investment selection will appear at the bottom of the page.

Enter the percentage to be allocated to each investment. Ensure the totals entered equal 100%.

The screenshot shows the 'Investment selection' screen in the Nucleus system. The page title is 'Single payment / transfer' and 'Investment selection'. The client name is 'David James', Client ID is '2251', and Product reference is 'N11002892-001'. The product is 'GIA'.

The main section is titled 'Investment selection' and contains the following elements:

- A question: 'Do you want to trade in investments already held?' with radio buttons for 'Use current assets' (selected) and 'No'.
- Navigation tabs: 'Funds', 'Exchange traded', 'Cash products', 'Managed portfolios', and 'Adviser portfolios'. 'Funds' is the active tab.
- A search bar for 'Other investments' with a 'Favourites' icon and an 'Advanced search' link.
- An 'Investment choices' table showing the allocation for a single payment of £1,500.00.

Investment name	Single (%)	£1,500.00
Cash	10	%
7IM AAP Balanced C Acc	45	%
7IM AAP Balanced C Inc	45	%
Total		100%

On the right side, there is a 'Single payments/transfers' summary panel with a progress list:

1. Payments in ✓
2. Adviser charges ✓
3. Investment selection
4. Review
5. Documents and declarations
6. Confirmation

Buttons at the bottom of the summary panel are 'Save and exit', 'Cancel', and 'Continue'.

New assets

If you're investing into assets not currently held, select 'No'.

Select the investment type across the headings shown here.



Your client can now hold loose assets, multiple model portfolios, ETIs, and other investments, all within the same account. Investments will be purchased when the cash is available.

Enter the investment name into the search bar, then select the investment from the results.

Enter the percentage to be allocated to each investment. Ensure the totals entered equal 100%.

Once you're happy with your investment preferences, select 'Continue' to move on to the review page.

Single payment / transfer
Investment selection

David James
Client ID: 2251
Product reference: N31002092-001
Product: GIA

Investment selection

Do you want to trade in investments already held?

Use current assets No

Funds Exchange traded Cash products Managed portfolios Adviser portfolios

Other investments

[Favourites](#)

[Advanced search](#)

Investment choices

Investment name	Single (%)	£150000	
<input checked="" type="radio"/> Ballie Gifford American B.Acc	45	%	
<input checked="" type="radio"/> Liontrust Diversified Real Assets D.Acc	45	%	
Cash	10	%	
Total		100%	

Single payments/transfers

1. Payments in
2. Adviser charges
3. Investment selection
4. Review
5. Documents and declarations
6. Confirmation

Review

Review the details for accuracy. Use the 'pencil' icon to make any necessary changes.

Once you're happy with the accuracy of the application, select '**Continue**' to move on to the declaration and documents page.

The screenshot shows the 'Review' page in the Nucleus system. The page is titled 'Single payment / transfer Review' and includes client information for David James (Client ID: 2251, Product reference: NJ1002092-001, Product: GIA). The page is divided into several sections:

- Review:** A section for 'Financial advice' with the question 'Did you give financial advice to your client in relation to this instruction?' and the answer 'Yes'.
- GIA:** A section for 'Single payments in' showing a 'Client single payment' of £1,500.00.
- Transfer 1:** A section for 'Transfer 1' with details for 'James Hay Pension Trustees Limited'. It includes fields for 'Electronic transfer supported' (No), 'Transfer type' (Re-register assets), 'Total estimated transfer value' (£5,089.00), 'Transferring account number' (123456), 'Full or partial transfer' (Full), and 'Cash portion of the transfer' (£250.00).
- Transfer 1 assets to be re-registered:** A table listing assets to be re-registered:

Investment	Valuation	Quantity (units)
7IM AAP Adventurous C Acc	£2,314.00	1000
Liontrust Balanced C Acc	£2,525.00	1000
Total	£4,839.00	2000

- Adviser charges:** A section for 'Adviser charges'.
- Single payments/transfers:** A sidebar on the right showing a progress list: 1. Payments in (checked), 2. Adviser charges (checked), 3. Investment selection (checked), 4. Review (active), 5. Documents and declarations, 6. Confirmation.

At the bottom right, there are three buttons: 'Save and exit', 'Cancel', and 'Continue'.

Declarations and documents

Key message

Only wet signature is available for trust or company applications

Select how your client wishes to sign their documents.



If you're selecting 'Digital signature' the client's contact details will need to have been completed and accurate.

All relevant documents and illustrations will be produced here. This section indicates the documents that will be sent to the client electronically if digital signature is selected.



Documents will be available to download within the documents library.

Documents can't be amended once submitted. If there are any amendments to be made to documentation, you'll need to resubmit the application to generate new documents.

The screenshot shows the 'Documents and declarations' form in the Nucleus system. The form is titled 'Single payment / transfer' and 'Documents and declarations'. It includes client details for David James (Client ID: 2251, Product reference: NJ1002092-001, Product: GIA). The form asks how the client wishes to sign: 'Digital signature' (selected) or 'Wet signature'. It lists client contact details (Name: Mr David James, Email address: james01@hotmail.com, Phone: +44 7070780808) and a note that these details must be correct. The form also lists documents to be sent to the client requiring signature (Adviser Charges Confirmation (390823)), documents to be completed and sent to us by secure message (Transfer Form (390822)), and supporting documents to be sent to the client (GIA Illustration (390821), Ex-Ante C&C Disclosure (390820), Target Market Information). A warning message states: 'Once submitted, the documents for signing cannot be amended. If any updates are required on the documents, you'll need to re-complete the application to generate new documents or access the originals from the document library and complete with a wet signature. Documents sent for e-signature will be valid for 60 days only. If there's no activity after 60 days these will be deleted and need to be re-submitted or signed using a wet signature.' The form has buttons for 'Save and exit', 'Cancel', and 'Submit'. On the right side, there is a progress indicator for 'Single payments/transfers' with steps: 1. Payments in (checked), 2. Adviser charges (checked), 3. Investment selection (checked), 4. Review (checked), 5. Documents and declarations (current step), and 6. Confirmation.



You'll be notified when documents are sent to your client. Digital documents are available for e-signature for 60 days. After that, they're deleted and you'll need to resubmit the application or use a wet signature instead.



If wet signature is selected download and share the documents with your client to be signed.

Once signed please to us via secure message.

Read through the declarations and tick to confirm completion.

Select **'Submit'** to submit the top up application.

The screenshot shows a web form with two main sections: 'Declarations' and 'Single payments/transfers'. The 'Declarations' section contains several groups of checkboxes, all of which are checked. The 'Single payments/transfers' section is a vertical list of items, each with a checkmark to its right. At the bottom of the 'Declarations' section is a 'Confirm all' checkbox, which is also checked. To the right of the 'Declarations' section are three buttons: 'Save and exit', 'Cancel', and 'Submit'.

Declarations

Information provided

- I have appropriate consent from my client(s) (applicant) and from any third party referenced in the application to share their personal data and make this application on their behalf.
- I understand it's my responsibility to complete and send any additional information required to Nucleus in relation to this application, as shown in the previous 'Documents' page or as otherwise required.
- I acknowledge and accept that if any information supplied in this application form and/or associated documentation is incorrect or incomplete, this may delay the application and any associated transfer or invalidate the Product.

Disclosure

- I've provided my client(s) with all required regulatory disclosure documents including, as applicable, a key features illustration, Key Information Documents (KIDs)/Key Investor Information Documents (KIIDs)/Key Investor Information documents (NURS KII), and costs and charges documents for the relevant product and/or investment.
- I confirm that my client(s) are eligible, under the Platform Services terms and conditions in accordance with applicable law and regulations and the terms of the relevant investment provider(s) or issuer(s), to invest in the chosen investment(s).
- I've told my client(s) about their cancellation rights in relation to buying collective investments.
- I've told my client(s) that funds transferred in (re-registered) to the Nucleus platform, will automatically be converted to the cheapest share class available on the platform, where a cheaper class is available.

Payments

- I acknowledge that any single payments into my product should not be made until my product is set up by Nucleus. I understand that Nucleus will notify me and my adviser once my account is created and single payments can be made by bank transfer into my product using the bank details and payment reference advised by Nucleus.

Investments

- I confirm that I've considered the target market for the investment selection(s) made and that my client(s) fall within this.

Confirm all

Single payments/transfers

1. Payments in
2. Adviser charges
3. Investment selection
4. Review
5. Documents and declarations
6. Confirmation

Save and exit

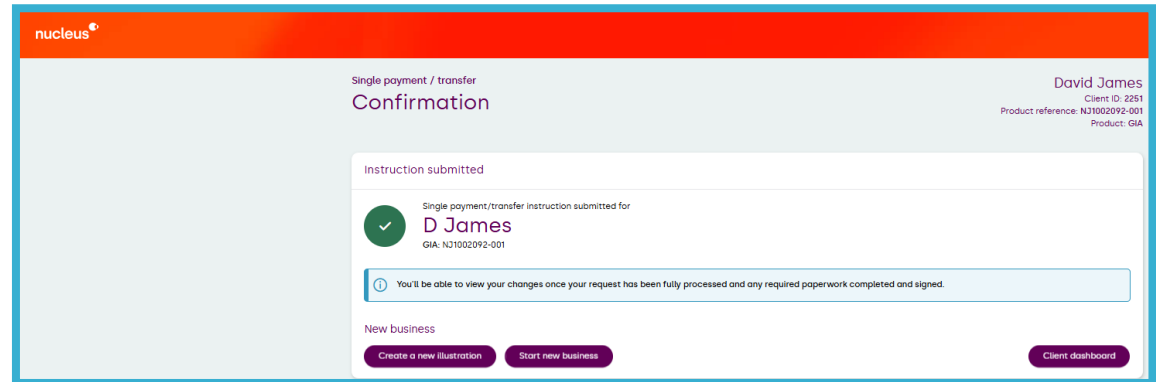
Cancel


Submit

Confirmation


The top up application has been successfully submitted.

From here, you can create a new illustration, start a new business application or return to the account dashboard.



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 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.

"Nucleus" is the trading name for Nucleus Financial Platforms Limited (NFPL) (registered in England, number 06033126), Nucleus Group Services Limited (NGSL) (registered in England, number 02538532); James Hay Services Limited (JHS) (registered in Jersey, number 77318); James Hay Administration Company Limited (JHAC) (registered in England, number 04068398); James Hay Pension Trustees Limited (JHPT) (registered in England, number 01435887); James Hay Wrap Managers Limited (JHWM) (registered in England, number 04773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England, number 07259308); Nucleus Financial Services Limited (NFS) (registered in England, number 05629686). NFPL, NFS, NGSL, JHAC, JHPT, JHWM, JHWNC have their registered office at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. JHS has its registered office at Aztec Group House, IFC6, The Esplanade, St Helier, Jersey, JE4 0QH. JHAC, JHWM and NFS are authorised and regulated by the Financial Conduct Authority. NFPL, NGSL, NFS, JHWM, JHPT, JHAC and JHS are members of a VAT group with VAT registration number 514 0358 80. All companies are wholly owned subsidiaries of NFPL. Further details of the Nucleus Group can be found at nucleusfinancial.com. (12/25)