

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.

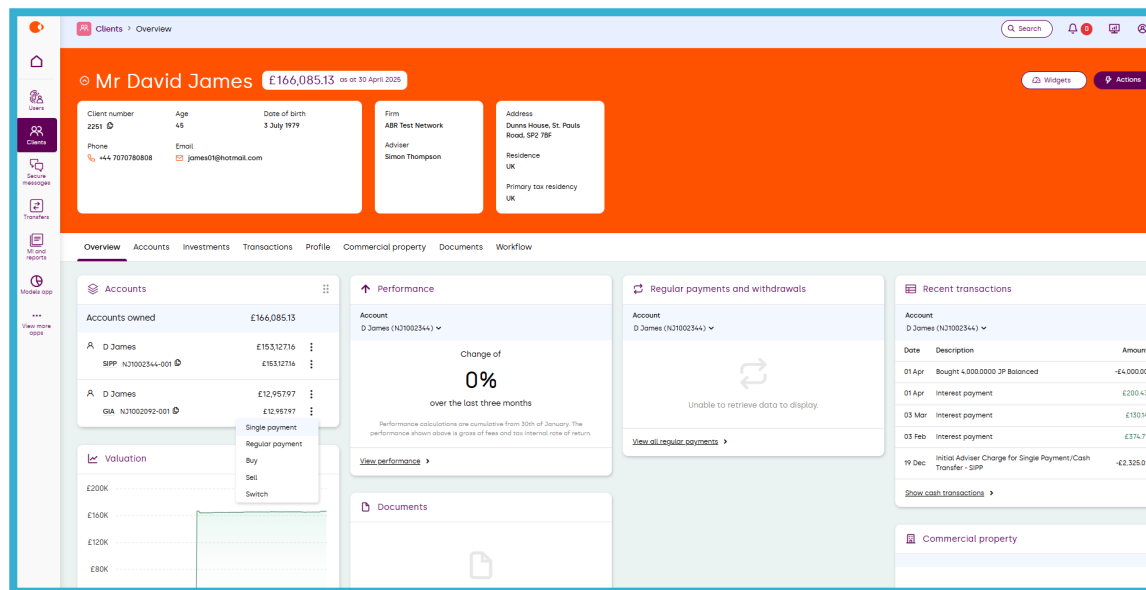
 We recommend using the zoom function to view the details on the platform screens in this guide.

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' interface for a client named David James. The interface includes a 'Financial advice' section with a question 'Did you give financial advice to your client in relation to this instruction?' and radio buttons for 'Yes' (selected) and 'No'. Below this is the 'Single payment in' section with radio buttons for 'No' and 'Yes' (selected). A blue callout box provides bank transfer details: Bank account name: Nucleus Financial Services Limited, Sort code: 09-02-22, Account number: 11095141, and Payment reference instructions. At the bottom, there are fields for 'Client' (Single payment: £ 1500) and 'Payment method' (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 ceding provider's name into the search bar and select the provider from the results.

Key message

If you're unable to locate the ceding provider using the search bar, you can add the details manually by selecting 'Add provider manually'.

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

Cash transfer payments

Select cash transfer type and enter all the transfer details.



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

Select source of wealth form the drop-down list.

Re-register assets

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

Key message

If you're unable to locate the ceding provider using the search bar, you can add the details manually by selecting **'Add provider manually'**.

Select **'Re-register assets'** transfer type.

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

Enter all transfer details.



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.

The screenshot shows the 'Transfer In' section of the application. At the top, there are radio buttons for 'No' and 'Yes', with 'Yes' 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 bar containing 'James Hay Pension Trustees Limited' and a blue 'Add provider manually' button; 'Electronic transfer supported?' with the value 'No'; 'Transfer type' with radio buttons for 'Cash' and 'Re-register assets', where 'Re-register assets' is selected; 'Total estimated transfer value' with the value '£7,039.60'; 'Account number' with an empty input field; and 'Full or partial transfer' with radio buttons for 'Full' and 'Partial', where 'Full' is selected. A note below the account number field states: 'Providing the account number will help to process the transfer.' On the right side of the interface, there is a 'Single payments/transfers' sidebar 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 this sidebar are three buttons: 'Save and exit', 'Cancel', and 'Continue'.

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

Enter each asset's units.

Enter the cash portion of the transfer, if applicable.

If there are multiple transfers, select '**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.

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 'Single payment / transfer' application. The page header includes the 'nucleus' logo and client information: 'David James', 'Client ID: 2281', 'Product reference: N3192092-901', and 'Product: GIA'. The main form area is titled 'Adviser charges' and contains two input sections. The first section is for an 'Initial adviser charge' for cash transfers and single payments, with a value of '0.75' and a selected charge type of '%', resulting in an 'Estimated £11.25'. The second section is for an 'Initial adviser charge' for re-registration transfers, with a value of '0.5' and a selected charge type of '%', resulting in an 'Estimated £25.45'. To the right, a 'Single payments/transfers' sidebar shows a progress list: '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 user is identified as David James, Client ID: 2251, Product reference: NJ1002892-001, Product: 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' (selected), 'Exchange traded', 'Cash products', 'Managed portfolios', and 'Adviser portfolios'.
- A search bar with a magnifying glass icon and a 'Favourites' link.
- An 'Advanced search' link.
- An 'Investment choices' table with columns for 'Investment name' and 'Single (%) £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' progress bar with the following steps:

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

At the bottom of the right panel, there are three buttons: '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' stage of a 'Single payment / transfer' application in the Nucleus system. The client is David James (Client ID: 2251, Product reference: NJ1002092-001, Product: GIA). The page is divided into several sections:

- Financial advice:** A question 'Did you give financial advice to your client in relation to this instruction?' is answered 'Yes'.
- GIA Section:**
 - Single payments in:** Client single payment of £1,500.00.
 - Transfer 1:** Transferring scheme is James Hay Pension Trustees Limited. Electronic transfer supported is 'No'. Transfer type is 'Re-register assets'. Total estimated transfer value is £5,089.00. Transferring account number is 123456. Full or partial transfer is 'Full'. Cash portion of the transfer is £250.00.
 - Transfer 1 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:** Section for reviewing adviser charges.
- Single payments/transfers Summary:** A checklist on the right side showing:
 1. Payments in ✓
 2. Adviser charges ✓
 3. Investment selection ✓
 4. **Review**
 5. Documents and declarations
 6. Confirmation
- Actions:** Buttons for 'Save and exit', 'Cancel', and 'Continue' are located at the bottom right.

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' section of a Nucleus application. At the top right, it identifies the client as David James (Client ID: 2251, Product reference: NJ1002092-001, Product: GIA). The main heading is 'Single payment / transfer Documents and declarations'. Below this, there are three sections: 'Documents and declarations', 'Client contact details', and 'Single payments/transfers'. The 'Documents and declarations' section asks 'How do you wish for your client to sign?' with radio buttons for 'Digital signature' (selected) and 'Wet signature'. The 'Client contact details' section includes fields for Name (Mr David James), Email address (james01@hotmail.com), and Phone (+44 7070780808), with a note to update details if incorrect. It lists documents to be sent to the client requiring signature (Adviser Charges Confirmation), to be completed and sent by secure message (Transfer Form), and supporting documents to be sent to the client (GIA Illustration, Ex-Ante C&C Disclosure, Target Market Information). The 'Single payments/transfers' section shows a progress list with 'Documents and declarations' as the current step. At the bottom, there are 'Save and exit', 'Cancel', and 'Submit' buttons. A yellow warning box at the bottom states that once submitted, documents cannot be amended and that e-signatures are valid for 60 days.



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 displays a web form titled "Declarations" and "Single payments/transfers".

Declarations Section:

- 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.

At the bottom of the declarations section, there is a checkbox labeled "Confirm all" which is checked.

Single payments/transfers Section:

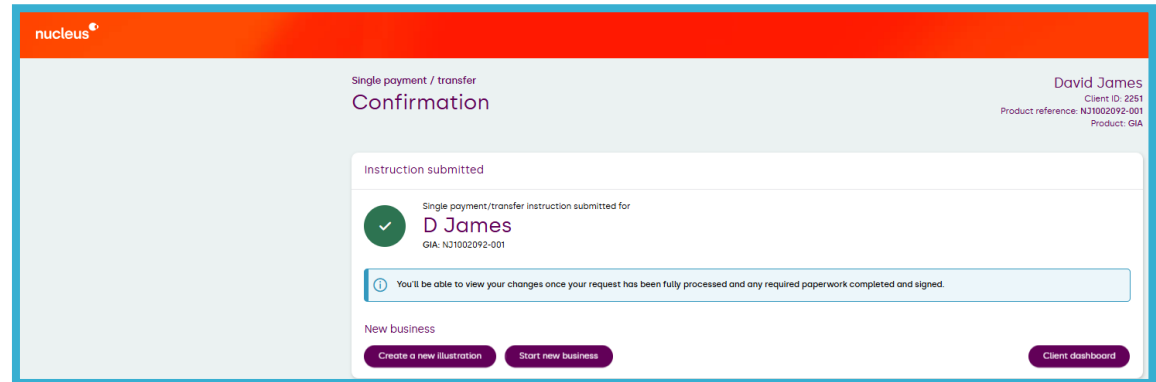
- 1. Payments in
- 2. Adviser charges
- 3. Investment selection
- 4. Review
- 5. Documents and declarations
- 6. Confirmation


At the bottom of the form, there are three buttons: "Save and exit", "Cancel", and "Submit". The "Submit" button is highlighted in a darker purple color.

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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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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