



nucleus^o platform

Investment provider's questionnaire

Must be completed by the investment provider

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
- **email** to the Nucleus Investment Oversight Team - investmentoversight@nucleusfinancial.com.

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

Using this form

Please provide the required information about the investment.

This form is for top-ups to existing investments only as new specialist investments (also known as Non-Standard Investments) are not permitted.

Before any prospectus will be considered and a decision made, this questionnaire must be completed by the investment provider. This should be arranged by either the financial adviser or the customer.

Section 1 - Investment details

What is the name of the investment?

What is the precise structure of the investment and is it regulated in the United Kingdom (UK) by the Financial Conduct Authority (FCA)?

What is the precise nature of the investment?

Where is the investment registered?

Please explain why you believe it is an approved HM Revenue and Customs (HMRC) pension scheme investment.

Is the investment a limited offer and/or what is the term of the investment?

Are there any specific provisions for selling upon death?

Are there any encashment restrictions for the investment?

Is there potential for in-specie redemptions?

Is there a lock-in period and if so how long?

What is the total fund value (in issue)?

Are there any restrictions/liabilities or special terms attached to the investment and are there likely to be additional tranches/offers relating to similar investments from the same investment provider?

Section 2 - Declaration

Signature

Name


Please provide an overview of the marketing strategy for the investment and what type of investors are being targeted.


Position


Date (DD/MM/YYYY)

What marketing/advertising strategies do you utilise to market the investment to prospective clients (e.g. newspapers/mailouts/internet/contact lists)?

Please provide contact details for the investment provider's solicitors/legal advisers.

 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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