For advisers

For full functionality, please download and complete this form as a PDF.

Our new platform

nucleus platform

Adviser firm registration form

Please complete this form in BLOCK CAPITALS, and return it by email to newfirm@nucleusfinancial.com.

If you need any help, please call our general enquiry number 03455 212 414.

Please use this form to register your adviser firm with Nucleus. You'll need to read and agree to our **Adviser Terms of Business** before we can work with you. This document is available from our website literature.nucleusfinancial.com or on request.

Section 1 - Firm details

Name of organisation

Financial Conduct Authority (FCA) number

Business address

Postcode

Contact name

Telephone

Email

If this firm is an appointed respresentative of another, please confirm the name of the principal firm

Section 2 - Principal firms

Please only complete this section if the firm in Section 1 is the principal firm for any appointed representatives (please tick one box only):

- ☐ Register the principal firm only
- ☐ Register the principal firm and the office branches of this firm
- ☐ Register the principal firm and the appointed representatives of this firm (named in Section 3 or in a list enclosed with this form).

If you're enclosing a list of appointed representatives, please include:

- Name of appointed representative firm
- Business address
- Contact name
- Telephone and email

In any branch office list, please include:

- Branch location
- Branch address
- Contact name
- Telephone, fax and email

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Section 3 - Appointed representatives

Please only complete this section if you wish to register an appointed representative of the principal firm named in Section 1:

Name of appointed representative (firm name), or

Name of appointed representative (individual)

Name of principal firm

FCA authorisation number

Business address

Postcode

Contact name

Telephone

Email

Section 4- Bank details for adviser charge payments

Name of firm to receive payment(s)

Bank name

Bank address

Postcode

Account name

Sort code

Account number

If you're a principal firm and you need adviser charges to be paid to different bank accounts in respect of your appointed representatives and/or branch offices:

- please supply a list of the bank accounts to which we should pay adviser charges, including details of which appointed representatives and/or branches they apply to.
- please confirm who should receive any remuneration statements (one option only):

Principal

Branch office

Principal and branch office

Not required

Section 5 - Master Users

Please use this section to nominate the master user(s) to represent your adviser firm on our platform.

The Master Admin user has the ability to set up and manage the initial online access and permissions of colleagues at their firm. In turn, these individuals can use their online access to manage their clients' Nucleus products on our platform.

Please keep in mind that a master user is responsible for the overall safekeeping of the firm's user access and usernames of the platform users at their firm, and for instructing prompt cancellation of access for individuals who leave the company.

When accessing the Nucleus platform for the first time, each individual user will still need to read and agree to Our Online Terms of Use, under which access is permitted; not just the master users.



Permissions and roles

Please be aware that all master users will be given access to all clients of all advisers at their firm, including all branches and all appointed representative firms.

Master users will also be able to:

- Manage model portfolios
- Carry out bulk switches
- Access adviser charges reports
- Set up other master users

If your master user should **not** have full network access, or restricted access to any of the above, please let us know by secure message.

Please enter the details of the Master Admin user you want to register.

Title

First name(s)

Surname

Date of birth (DD/MM/YYYY)

Mobile phone (for receipt of security passcode)

Contact phone number (if different to above)

Email

Role at firm

Individual's Financial Conduct Authority (FCA) number (if applicable)

Section 5 continued - additional master users (optional)



There's no need to enter details of all users for your firm here. This is for extra master users only.

Title

First name(s)

Surname

Date of birth (DD/MM/YYYY)

Mobile phone (for receipt of security passcode)

Contact phone number (if different to above)

Email

Role at firm

Individual's financial services number (if applicable)

Role

- [ ] Master admin, or
- [ ] Master read-only

Title

First name(s)

Surname

Date of birth (DD/MM/YYYY)

Mobile phone (for receipt of security passcode)

Contact phone number (if different to above)

Email

Role at firm

Individual's financial services number (if applicable)

Role

- [ ] Master admin, or
- [ ] Master read-only

There are two levels of master user permissions that can be set up.

Master admin has full access to view and edit using all available platform functions. They can also set up new users, manage user roles and functions, transfer clients between advisers and access adviser charge management tools.

Master read-only will still be able to see all available platform features but will have 'view-only' access to the following areas:

- Client addresses, personal details and account information
- Client bank account details
- Regular payments in and withdrawals
- Regular trading activity
- Disinvestment preferences
- Adviser charges
- SIPP benefit payments

For more details on master users and all other roles, please visit nucleusfinancial.com/user-role.

Section 6 - Back office requirements

Please complete this section to let us know about the back office support systems you need access to. otherwise, please continue to Section 7.

- [ ] This request applies to the principal firm named in Section 1 **and all appointed representatives**
- [ ] This request is only to be applied to the appointed representative firm(s) named below

Name of firm(s)

System requirements

Please confirm which of the following back office solutions you need access to. If you have any requirements that aren't covered by this list, please contact us to discuss.

Bulk valuations:

- [ ] Adviser Cloud
- [ ] Benchmark
- [ ] Fastrak - Sprint
- [ ] intelliflo - intelliflo Office*
- [ ] Iress - Xplan
- [ ] moneyinfo
- [ ] Morningstar Wealth
- [ ] Time4Advice Ltd - Curo

* Please note that the set-up process for intelliflo is not initiated by us. Please visit the Intelliflo Store at intelliflo.com/our-solutions/intelliflo-store/apps/ to download the Nucleus Platform Bulk Valuations App.

Electronic fee statements:

- [ ] Iress - Xplan

Bulk transaction history:

- [ ] Fastrak - Sprint
- [ ] Iress - Xplan

Section 7 - Declaration

I/We apply to register with Nucleus as a financial adviser for clients with Nucleus products.

I/We have read and agree to the Nucleus **Adviser Terms of Business**, available from literature.nucleusfinancial.com or on request.

I/We agree that Nucleus may make relevant searches and checks (including in regard to credit worthiness) on this organisation and its owners/ principals as it sees fit.

I/We request that the firm(s) named in Section 1 are provided with the access to the selections made in this form, and I/we confirm that I/we have the appropriate authority to make this request.

I/We confirm that the details given in this form are correct and complete to the best of my/our knowledge and belief, and I/we will notify Nucleus immediately of any changes.

I/We hold the appropriate permissions to authorise the individual(s) named in this form to be a master user for the adviser firm named in Section 1.

To be signed by a director, sole trader (if applicable) or partner as appropriate:

Please ensure this form is signed using black ink, scanned, and returned by email to newfirm@nucleusfinancial.com.

Applicant's signature

Full name

Date (DD/MM/YYYY)

Name of organisation

Role

Contact number

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 Relay UK service on 18001 03455 212 414.

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