

For advisers

Our new
platform

nucleus^o
platform

How to process
an ISA new
business application

 5 minute read



How to process an ISA new business 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 an ISA new business application



This guide is demonstrated using an adviser user with master user role permissions. If you have a different user role permission some functionality may not be available to you.

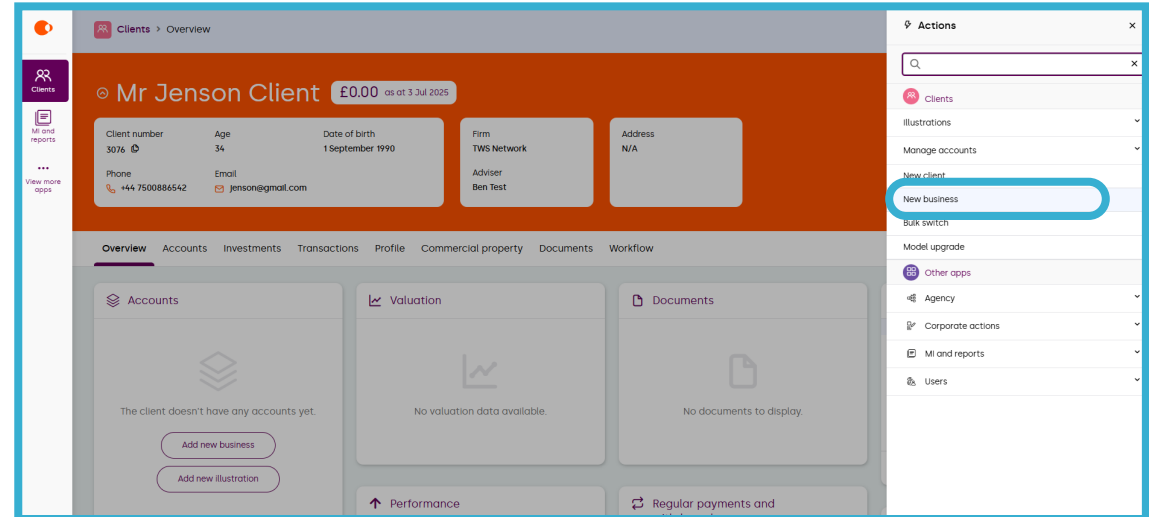
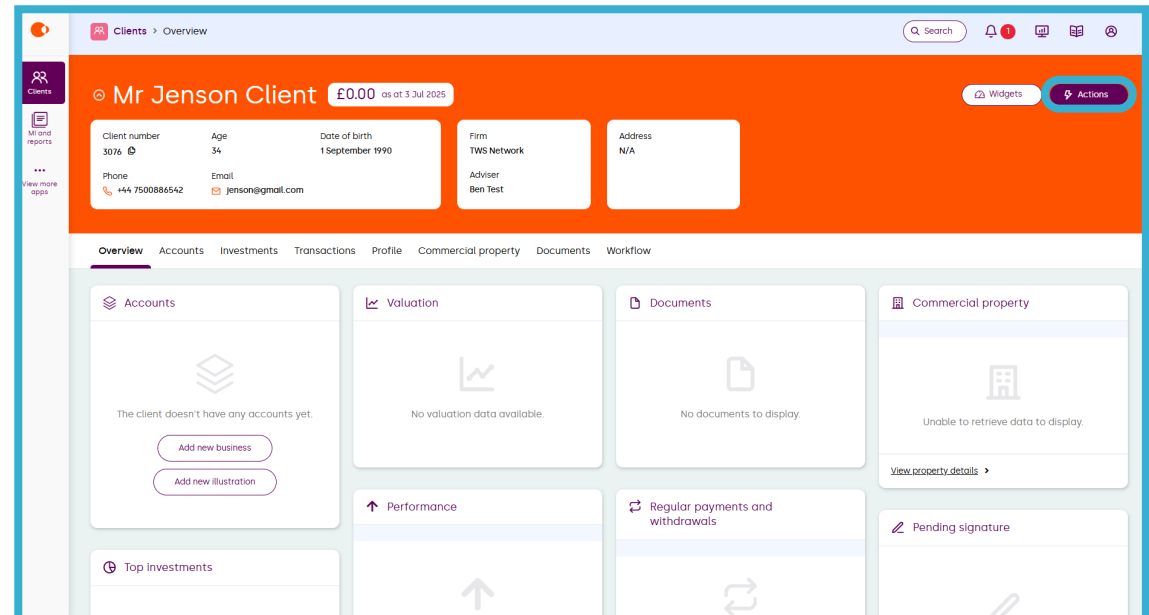


To start an ISA new business application you need to either create a client or find an existing client. Please refer to the respective guides.

Once you've created or located your client, you can refer to this guide to proceed with submitting the ISA new business application.

From the client home page select the **'Actions'** button.

A list of actions will appear. To create the new business application, select **'New business'**.



Key message

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

To resume the application, go to the workflow tab within the client's account.

Full client details



The assigned firm and adviser can be changed by selecting the drop-down lists.

Please note new business applications can only be accepted on an advised basis. You must confirm advice has been provided by selecting **'Yes'**.

Confirm if your client requires access to the portal.

Key message

If 'Yes' is selected, the client will receive an invitation to register to the portal and accept our terms. This email is valid for five days. If 'No' is selected, all communication will be sent by post.

Customer portal access is needed if your client wants to go paperless. It also lets them make additional contributions, investments, and update their contact details.

For more information please refer to the customer portal permissions helpsheet.

The screenshot shows the 'Full client details' form in the nucleus system. The form is titled 'New business' and 'Full client details'. The client is identified as 'Jenson Client' with ID '3076'. The form is divided into several sections:

- Hierarchy selection:** Includes a 'Firm' dropdown menu set to 'TWS Network (JHPDAAAFO)' and an 'Assign an adviser' dropdown menu set to 'Ben Test (JHPDAAAFO0000005)'.
- Financial advice:** A question 'Did you give financial advice to your client in relation to this instruction?' with radio buttons for 'Yes' (selected) and 'No'.
- Customer portal access:** A question 'Customer portal access?' with radio buttons for 'Yes' (selected) and 'No'.

On the right side, there is a 'New business' sidebar with a progress indicator showing five steps: 1. Full client details (current), 2. Product selection, 3. Review, 4. Documents and declarations, and 5. Confirmation. At the bottom of the sidebar are buttons for 'Save and exit', 'Cancel', and a highlighted 'Next: Product selection' button.

Enter your client's contact details into the required fields.

Key messages

The client's contact details are optional unless they'd prefer to receive postal correspondence. Digital signatures and paperless correspondence require an email address.

The client's address can be amended once chosen by selecting the pencil icon next to the address.

Enter your client's address or postcode into the search bar and select the correct address. If the address can't be found, select 'enter an address manually' and complete the address details.

The screenshot displays a web form for processing an ISA new business application. It is divided into two main columns: 'Client details' and 'New business'.

Client details section:

- Name:** Mr Jenson Client
- Date of birth:** 1 September 1990
- Email address:** A text input field containing 'jenson@gmail.com'.
- Phone:** A dropdown menu set to 'Mobile'.
- Country:** A dropdown menu set to 'UK (+44)'.
- Phone number:** A text input field containing '7500886542'.
- Actions:** A purple '+ Add another' button.
- Message:** A blue information box with a pencil icon stating: 'Email address and phone number must be provided to apply for customer portal access or to use a digital signature.'

Address section:

- Address:** Flat 2, 64 Milford Street, Salisbury, SP1 2BP, UK. A pencil icon is next to the address.
- Message 1:** A yellow warning box with a pencil icon: 'Please note PO boxes, 'care of' or financial adviser business addresses can't be used.'
- Message 2:** A yellow warning box with a pencil icon: 'If your client wishes to use an alternative address for correspondence, we need to receive written confirmation directly from the client. They can send this to us by secure message or in writing to Nucleus, Suite 202, Warner House, 123 Castle Street, Salisbury, SP1 3TB.'
- Confirmation:** 'Use this address for all correspondence?' with radio buttons for 'Yes' (selected) and 'No'.

New business section:

- Progress list:**
 1. Full client details
 2. Product selection
 3. Review
 4. Documents and declarations
 5. Confirmation
- Buttons:** 'Save and exit' (purple), 'Cancel' (purple), and 'Next: Product selection' (dark purple).

If the client requires an alternative correspondence address please contact us. Alternatively, the client can amend this through the customer portal.

Confirm whether your client would like to receive paperless correspondence, through the customer portal.



Going paperless offers benefits such as enhanced accessibility and better visibility for your clients, often resulting in faster turnaround times for signing documents.

Key messages

To receive paperless correspondence, your client needs access to the customer portal. Until they log in and accept the terms, all correspondence will be sent by post. The correspondence preferences can be changed at any time, but some documents may still be sent by post for regulatory/security reasons. For more information, please see the Customer portal permissions helpsheet.

The screenshot displays a web form with two main sections: 'Address' and 'Paperless settings'. The 'Address' section shows a current address: Flat 2, 64 Milford Street, Salisbury, SP1 2BP, UK. Below this are two yellow warning boxes. The first states: 'Please note PO boxes, 'care of' or financial adviser business addresses can't be used.' The second states: 'If your client wishes to use an alternative address for correspondence, we need to receive written confirmation directly from the client. They can send this to us by secure message or in writing to Nucleus, Suite 202, Warner House, 123 Castle Street, Salisbury, SP1 3TB.' Below the warnings is a question: 'Use this address for all correspondence?' with radio buttons for 'Yes' (selected) and 'No'. The 'Paperless settings' section has a question: 'Go paperless for client correspondence?' with radio buttons for 'Yes' (selected) and 'No'. A blue information box at the bottom of the settings section states: 'The customer will receive paper documentation until they have completed their online registration. Once complete, documents will then be issued electronically. Please note certain documents must always be sent as paper documents for legal, security or regulatory reasons. All documents can be accessed from the customer's online document library.' On the right side of the form, there is a vertical list of steps: 1. Full client details, 2. Product selection, 3. Review, 4. Documents and declarations, 5. Confirmation. Below the list are three buttons: 'Save and exit', 'Cancel', and a prominent purple 'Next: Product selection' button.

Select your client's marketing preferences.



When selecting yes to marketing, your client will receive our latest news, by email, post or text.

Select your client's employment status from the drop-down list.

For all employed, and self-employed clients, enter employer details including company name and address.

Marketing Preferences

Allow receiving news and promotions?

Yes No

Employment

Employment status
Employed

Employer name
Nucelus

Milford House
43-55 Milford Street
Salisbury
SP1 2BP
UK

Save and exit
Cancel
Next: Product selection

Please note PO boxes, 'care of' or financial adviser business addresses can't be used.



All ISA applicants must be UK residents, or a Crown employee serving overseas. If this doesn't apply, or the client doesn't have a National Insurance number, please provide their tax identification number issued by the country they're a tax resident of.

Enter all your client's regulatory and residency information.

If your client has dual citizenship select **'Add another'**.



We can't accept undischarged bankrupt clients.

Once you're happy with the client details, select **'Next: Product selection'** to move on to the product selection page.

Regulatory

Application rules

- We don't accept any applications from any US persons (a citizen or national of the USA).
- We don't accept any applications from US residents. This includes the United States of America, its territories and possessions, any state of the United States and the District of Columbia.
- ISA applicants must be a UK resident or a Crown employee serving overseas.
- Offshore Bond applicants must be a UK resident for tax purposes. You must advise RL360 in writing immediately about changes to residency or citizenship status.
- Where your client is a UK resident for tax purposes or a Crown employee serving overseas, you must provide their National Insurance number for ISA, SIPP or Offshore Bond applications. Options to apply for an ISA, SIPP or Offshore Bond won't be available until this information is entered.
- Where your client is not a UK resident for tax purposes or a Crown employee serving overseas, you must provide their tax identification number issued by the country in which they are a tax resident. Options to apply for any products with Nucleus won't be available until this information is entered.

Does your client hold tax residency status anywhere other than the UK?
 Yes No

National Insurance number ⓘ
JZ652012A
 No National Insurance number

Country of nationality
UK + Add another

Is this the client's primary citizenship?
 Yes No

Is the client an undischarged bankrupt?
 Yes No

New business

1. Full client details
2. Product selection
3. Review
4. Documents and declarations
5. Confirmation

Save and exit

Cancel

Next: Product selection

Product selection

Confirm if you would like to give the account a name.

Key message

No special characters can be included in the account name.



Naming the account will make it easy for you and your client to distinguish between the accounts on your client's homepage. This name is visible to your client in the customer portal.

Select '**Standard Nucleus Platform products**'.

Key message

The adviser firm the client is associated with determines what products are available for selection.

New business

Product selection

Jensen Client
Client ID: 3076

Would you like to name the account your products will be held in?
 Yes No

Please provide an account name
ISA1

Please select from below
 Standard Nucleus Platform products

Available products
Based on your client's personal details, the following products are available:

- Nucleus GIA
- Nucleus SIPP
- Nucleus ISA
- Nucleus Offshore Bond

ISA options

Will your client be taking regular withdrawals?
 Yes No

Does your client require a transfer from a matured Child Trust Fund (CTF)?
 Yes No

New business

1. Full client details ✓
2. **Product selection**
3. ISA
4. Review
5. Documents and declarations
6. Confirmation

Save and exit

Cancel

Next: Payments in

Select '**Nucleus ISA**'.

Key message

You can select multiple products from the available list to include in this application.

Confirm all ISA options details.



If your client will be taking regular withdrawals, withdrawal information and bank account details will be required for this application.



Matured child trust fund transfers must be completed by a paper application. Application forms can be found on the Nucleus website under literature.

Once you're happy with your account selections, select '**Next: payments in**' to move on to the payment selection page.

Available products
Based on your client's personal details, the following products are available:

- Nucleus GIA
- Nucleus SIPP
- Nucleus ISA
- Nucleus Offshore Bond

ISA options

Will your client be taking regular withdrawals?
 Yes No

Does your client require a transfer from a matured Child Trust Fund (CTF)?
 Yes No

5. Documents and declarations

6. Confirmation

Save and exit

Cancel

Next: Payments in

Payments in

Select 'Yes' or 'No' for each payment type.

Key message

You can select multiple payment methods in one application.

Single payments



Single payments must be sent by bank transfer using the displayed bank details, also accessible on our website.

Include your client's account number, located at the end of the application, as the payment reference to avoid processing delays.

Enter single payment details.

The payment method will be automatically selected to 'bank transfer'.

Regular payments

Enter the regular payment amount, payment frequency, first collection date and the duration.

Key message

The first collection date can be any date from 1 – 28 of the month. There's a minimum of ten working days required to set up the Direct Debit instruction.

The payment method will be pre-selected to Direct Debit.

Select **'Add new bank account'**.

Regular payments in

Regular payment
 No Yes

Client
 Regular payment: £ 50
 Payment frequency: Monthly

First collection date
 18/09/2025

ⓘ The date selected is the earliest date the first payment could be collected. We'll need to receive a signed Direct Debit Instruction confirming the payer's bank details before we're able to start collecting payments. If it's not possible to collect the payment on this date, the first collection date will roll forward based on the frequency selected. The first payment date will continue to roll forward at the frequency selected until all outstanding requirements are met.

Continue
 Until further notice

Payment method
 Direct Debit

Bank account
 11-02-03 | 12345678 | Santander

+ Add new bank account

Next: Adviser charges

New business

1. Full client details ✓
2. Product selection ✓
3. ISA
 - Payments in
 - Adviser charges
 - Investment selection
4. Review
5. Documents and declarations
6. Confirmation

Save and exit
 Cancel

Complete your client's bank details.

Confirm if the bank account is for a **'Direct Debit instruction'** and/ or a **'Nominated account for withdrawals'**.

Select **'Save'** to submit the bank details.

Bank account details

Non-UK bank accounts can't be set up through the platform. Please visit the Literature app to find the relevant form to download, complete and return to us for this bank account to be added.

Owner
Individual

Bank name
Santander

Sort code
11 02 03

Account number
12345678

Building society roll number (optional)

Account name
J client

Address line 1 (optional)

Address line 2 (optional)

New business

- Full client details ✓
- Product selection ✓
- ISA
 - Payments in
 - Adviser charges
 - Investment selection
- Review
- Documents and declarations
- Confirmation

Save and exit

Cancel

Next: Adviser charges

Direct Debit instruction

Nominated account for withdrawals

The Direct Debit instruction will be requested to be signed when this bank account is first selected in any of the following requests:

- New business
- Add product
- Add regular payment

Cancel Save

Transfers

Select 'Yes'.

Enter the ceding providers name into the search bar and select the provider from the search list.

Key message

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

Transfer 1

Transferring scheme
Aviva Insurance Limited [+ Add provider manually](#)

Electronic transfer supported?
No

Transfer type
 Cash Re-register assets

Estimated current value
£ 1000

Account number
48484HG
Providing the account number will help to process the transfer.

Full or partial transfer
 Full Partial

Transfer from Flexible ISA
 Yes No

! Transfers in from a matured CTF account needs to be completed with a paper application. You can find this on our literature app.

Subscriptions included in the transfer
 Previous tax year Current tax year Both

Subscriptions made into ISA in the current year ©
£ 500

[+ Add another transfer](#)

New business

1. Full client details ✓
2. Product selection ✓
3. ISA
 - Payments in
 - Adviser charges
 - Investment selection
4. Review
5. Documents and declarations
6. Confirmation

[Save and exit](#)

[Cancel](#)

[Next: Adviser charges](#)

Cash transfer payments

Confirm whether this is either a cash or an in-specie transfer.

Enter all the transfer details.



Transfers from a matured child trust fund account must be instructed by a paper application form available on our website. If you require any support, please contact our Customer Service Centre.

Please confirm the subscriptions made into the ISA this current year, if you've selected '**Current tax year**' or '**Both**'.

If there are multiple cash transfers, select '**Add another transfer**'.



This section informs you of your clients remaining ISA allowance for the current tax year. The remaining allowance is calculated using the details entered.

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

The screenshot shows a web form for processing an ISA new business application. The form is divided into several sections:

- Transfer type:** Radio buttons for 'Cash' (selected) and 'Re-register assets'.
- Estimated current value:** A text input field containing '£ 18000'.
- Transferring account number:** A text input field containing '8756874'. Below it, a note states: 'Providing the account number will help to process the transfer.'
- Full or partial transfer:** Radio buttons for 'Full' (selected) and 'Partial'.
- Transfer from Flexible ISA:** Radio buttons for 'Yes' (selected) and 'No'.
- Is this a transfer from a matured CTF account?:** Radio buttons for 'Yes' and 'No' (selected).
- Subscriptions included in the transfer:** Radio buttons for 'Previous tax year', 'Current tax year' (selected), and 'Both'.
- Subscriptions made into ISA in the current year:** A text input field containing '£ 8000'. Below it is a button labeled '+ Add another transfer'.
- ISA allowance:** A section stating: 'Including the value of any replaceable withdrawals, you have £12000 allowance remaining for 2024/2025'.
- Source of wealth:** A dropdown menu with 'Savings/investments' selected.

On the right side of the form, there is a sidebar titled 'New business' with a progress indicator:

- 1. Full client details ✓
- 2. Product selection ✓
- 3. ISA
 - Payments in
 - Adviser charges
 - Investment selection
 - 4. Review
 - 5. Declarations & Documents
 - 6. Confirmation

At the bottom of the sidebar, there are three buttons: 'Save & exit', 'Cancel', and a purple button labeled 'Next: Adviser charges'.

Re-registered assets

Enter all transfer details.



Transfers from a matured child trust fund account must be instructed by a paper application form available on our website.

If you require any support, please contact our Customer Service Centre.

Confirm the ISA subscriptions that are included in the transfer.

Please confirm the subscriptions made into the ISA this current year, if you've selected '**Current tax year**' or '**Both**'.

The screenshot shows a web form for processing an ISA new business application. The form is divided into two main sections: the main application details on the left and a progress summary on the right.

Transfer type: Radio buttons for 'Cash' and 'Re-register assets' (selected).

Total estimated transfer value: £0.00

Transferring account number: Input field containing '123456'. Below it, a note states: 'Providing the account number will help to process the transfer.'

Full or partial transfer: Radio buttons for 'Full' (selected) and 'Partial'.

Transfer from Flexible ISA: Radio buttons for 'Yes' (selected) and 'No'.

Subscriptions included in the transfer: Radio buttons for 'Previous tax year', 'Current tax year' (selected and highlighted with a blue circle), and 'Both'.

Subscriptions made into ISA in the current year: Input field with '£ 1000'.

Yellow warning box: 'Transfers in from a matured CTF account needs to be completed with a paper application. You can find this on our literature app.'

Right-hand progress summary: Titled 'New business', it lists six steps: 1. Full client details (checked), 2. Product selection (checked), 3. ISA (expanded to show sub-sections: Payments in, Adviser charges, Investment selection), 4. Review, 5. Documents and declarations, and 6. Confirmation. At the bottom are 'Save and exit' and 'Cancel' buttons.

Enter the assets that will be re-registered into the search bar.

Enter the assets units.

Key message

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

Enter the cash portion value of the transfer.

If there are multiple transfers, select '**Add another transfer**'.

The screenshot displays the 'Assets to be re-registered' section of an ISA application. It features a search bar with a magnifying glass icon and a 'Favourites' star icon. Below the search bar is a table with columns for 'Code', 'Investment', and 'Quantity (units)'. The table lists four investments: BFB5.GB (ZIM.AAP.Balanced.Acc.-U) with 100 units, BFA7.GB (ZIM.AAP.Moderately.Adventurous.Acc.-U) with 50 units, IBF7.GB (WS.Verbatim.Portfolio.6.Acc.-U) with 200 units, and ASL.XLON.GB (ABERFORTH.SMALLER.COMPANIES.TRUST.ORD.GBP001) with 80 units. Each row has a trash icon to its right. Below the table is a yellow warning box with an information icon and the text: 'If more units are held than specified, we will transfer all units held for this account number.' Underneath is a 'Cash portion of the transfer' section with a currency selector set to '£' and a value of '2000'. At the bottom left is a button with a plus icon and the text 'Add another transfer'. On the right side of the interface, there is a vertical sidebar for '3. ISA' with sections for 'Payments in' (Adviser charges, Investment selection), a list of steps (4. Review, 5. Declarations & Documents, 6. Confirmation), and three buttons: 'Save & exit', 'Cancel', and 'Next: Adviser charges'.

Code	Investment	Quantity (units)
BFB5.GB	ZIM.AAP.Balanced.Acc.-U	100
BFA7.GB	ZIM.AAP.Moderately.Adventurous.Acc.-U	50
IBF7.GB	WS.Verbatim.Portfolio.6.Acc.-U	200
ASL.XLON.GB	ABERFORTH.SMALLER.COMPANIES.TRUST.ORD.GBP001	80

Key message

This section informs you of your clients remaining ISA allowance for the current tax year. The remaining allowance is calculated using the details entered on this page.

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

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

ISA allowance

Including the value of any replaceable withdrawals, you have £17,150 allowance remaining for the 2025/2026 tax year.



Source of wealth

Source of wealth ⓘ

Savings/investments



Adviser charges

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

Confirm if any ongoing adviser charges will be deducted from the head account or product.



For more information about adviser charges at either head or product level, please refer to our adviser charges helpsheet.

Key message

Flat rates, and annual rates can only be applied to products. Head account ongoing adviser charges will require tiering.

Adviser charges

Initial adviser charge ⓘ
Charge amount should be gross of VAT (for cash transfers and single payments)

%

Charge type ⓘ
 £ %

Estimated £30.00

Ongoing Adviser Charge (OAC)

Ongoing Adviser Charge (OAC) charged on
 Head account Product

Tiers

Add lower limit

Tiering group	Rate	Action
First £1,000.00	1.5 %	<input type="button" value="✕"/>
From £1,000.00 to £5,000.00	1.4 %	<input type="button" value="✕"/>
From £5,000.00 to £8,000.00	1.2 %	<input type="button" value="✕"/>
From £8,000.00 to £12,000.00	1 %	<input type="button" value="✕"/>
From £12,000.00 to £25,000.00	0.8 %	<input type="button" value="✕"/>
From £25,000.00	0.5 %	<input type="button" value="✕"/>

Frequency

Do you want to exclude assets when calculating OAC?
 Yes No

Do you wish to redirect the charges from ISA? ⓘ
 Yes No

New business

1. Full client details ✓
2. Product selection ✓
3. ISA
 - Payments in ✓
 - Adviser charges
 - Investment selection
4. Review
5. Documents and declarations
6. Confirmation

Head account ongoing adviser charge

If the ongoing adviser charge will be charged on the head account on a tiered arrangement, select the tier from the drop-down list.

Enter the lower limit amount and then select **'Insert tier'**.

Enter the first tiering group percentage rate. Repeat the steps to add a lower limit amount for each tiering group.

Enter a percentage rate for each tiering group and enter the frequency.

Confirm whether any assets should be excluded when calculating the ongoing adviser charge.

Confirm if the charges should be redirected from the ISA.

Adviser charges

Initial adviser charge ⓘ

1 % £ %

Estimated £40.00

Ongoing adviser charge

Ongoing adviser charge (OAC) charged upon

Head Account Product

Tiers

Default tier

Add lower limit

£ 100 **Insert tier**

Tiering group	Rate	Action
First £10.00	05 %	🗑️
From £10.00 to £100.00	04 %	🗑️
From £100.00	03 %	🗑️

Frequency

Monthly

Do you want to exclude assets when calculating OAC?

Yes No

Do you wish to redirect the charges from ISA? ⓘ

Yes No

New business

- Full client details ✓
- Product selection ✓
- ISA
 - Payments in ✓
 - Adviser charges**
 - Investment selection
- Review
- Declarations & Documents
- Confirmation

Save & exit

Cancel

Next: Investment selection

Product ongoing adviser charge

Select '£' or '%'.

Confirm if the product ongoing adviser charge is tiered.

If the ongoing adviser charge is not tiered please enter the annual rate amount, and the frequency.

Key message

If there are no adviser charges to be deducted, enter '0' into the fields.

Confirm whether any assets should be excluded when calculating the ongoing adviser charge.

Confirm if the charges should be redirected from the ISA.



To limit the impact on the clients ISA allowance you can redirect the adviser charge fees to your client's existing GIA.

New business Jenson Client
Client ID: 3076

Adviser charges

Adviser charges

Initial adviser charge ⓘ
Charge amount should be gross of VAT (for cash transfers and single payments)

1 % £ % Charge type ⓘ

Estimated £30.00

Ongoing Adviser Charge (OAC)

Ongoing Adviser Charge (OAC) charged on

Head account Product

Charge type

£ %

Do you wish to set up tiers?

Yes No

Annual rate

Charge amount should be gross of VAT

1 %

Frequency

Monthly

Do you want to exclude assets when calculating OAC?

Yes No

Do you wish to redirect the charges from ISA? ⓘ

Yes No

New business

1. Full client details ✓
2. Product selection ✓
3. ISA
 - Payments in ✓
 - Adviser charges
 - Investment selection
4. Review
5. Documents and declarations
6. Confirmation

Save and exit

Cancel

Next: Investment selection

Regular initial adviser charge



The regular initial adviser charge appears if a regular payment has been selected.

Enter the fee payment amount, frequency and the number of fee payments.

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

Regular adviser charges

i If you want to collect the initial adviser charge in full, you'll need to record the adviser charges here as '0' and then process an ad-hoc adviser charge.

Fee payment
Charge amount should be gross of VAT

£	10
---	----

Frequency

Monthly	▼
---------	---

Number of fee payments

24

Total fee amount: £240.00
Projected end date: 03 Jul 2027

Investment selection

Select the investment type using the headings.



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

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

Enter a percentage for each investment choice. Ensuring the total equals 100%.

Key message

When multiple products are selected additional investment fields will appear. If there's an investment which is non-tradable for a product this will be shown as 0% and can't be amended.

Select a distribution preference.

Once you're happy with your investment preferences, select **'Next: Review'** to move on to the review page.

New business
Jenson Client
Client ID: 3076

Investment selection

Investment selection

Funds Exchange traded Managed portfolios Adviser portfolios Other investments

☆ Favourites

[Advanced search](#)

Investment

Investment name	Single + Cash transfer	Regular monthly
<input checked="" type="radio"/> 7IM AAP Balanced C, Inc	50 % <input type="text"/>	50 % <input type="text"/> <input type="button" value="🗑️"/>
<input checked="" type="radio"/> Baillie Gifford American B, Inc	45 % <input type="text"/>	45 % <input type="text"/> <input type="button" value="🗑️"/>
Cash	5 % <input type="text"/>	5 % <input type="text"/> <input type="button" value="🗑️"/>
Total	100%	100%

Distribution preference

Please select from one of the following options:

Reinvest

Leave as cash in ISA

Transfer to a nominated bank account

Save and exit

Cancel

Next: Review

New Business

- 1. Full client details ✓
- 2. Product selection ✓
- 3. ISA
 - Payments in ✓
 - Adviser charges ✓
 - Investment selection
- 4. Review
- 5. Documents and declarations
- 6. Confirmation

Review

Review the application details for accuracy. You can use the pencil icon to make any necessary changes.

Once you're happy with the accuracy of the application, select '**Next: Declarations & Documents**' to move on to the declaration and documents page.

The screenshot displays the 'Review' stage of a new business application for 'Jenson Client' (Client ID: 3076). The interface is divided into two main sections: 'Full details' and 'New business'.

Full details: This section contains a table of client information with a pencil icon for editing.

Did you give financial advice to your client in relation to this instruction?	Yes
Client portal access	Yes
Name	Mr Jenson Client
Date of birth	1 September 1990
Marital status	Not specified
National Insurance number	Jz642013A
Country of nationality	UK
Is this client's primary citizenship?	Yes
Tax residency	UK only
Email address	jenson@gmail.com
Mobile number	+44 7500886542
Residential address	68A Milford Street, Salisbury, SP1 2BP, UK
Correspondence address	Same as residential
Paperless preference	Yes
News and promotions	No
Employment status	Employed

New business: This section shows a progress checklist for the application steps.

- 1. Full client details ✓
- 2. Product selection ✓
- 3. ISA
 - Payments in ✓
 - Adviser charges ✓
 - Investment selection ✓
- 4. Review
- 5. Documents and declarations
- 6. Confirmation

At the bottom of the 'New business' section, there are two buttons: 'Save and exit' and 'Cancel'.

Documents and declarations

Choose how you want your clients to sign their documents.

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.

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.

Please read through the declarations and tick to confirm completion.

Select **'Submit'** to submit the new business application.

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.
- The information provided in this application, including special category data where expressly required, is accurate and complete to the best of my knowledge.
- I can confirm that I've verified that the email address and mobile number entered in this application are the client's (applicant's) own email and mobile number and not that of a third party.
- 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.

Additional assistance for client(s)

- If my client(s) need any additional assistance in relation to their products they hold with Nucleus (for example braille or large print documents) or has any temporary or permanent vulnerabilities that Nucleus should be aware of, I'll inform Nucleus of this but only where I have explicit consent from my client(s) to share such information. I understand that Nucleus may need to contact me or my client regarding this assistance to ensure the most appropriate level of support is provided.

Client(s) online access and electronic communications

- I've agreed with my client(s) that they should register for online access to their Nucleus platform account and explained that they'll receive an email with instructions on how to complete their registration.
- My client(s) wish to receive correspondence from Nucleus, in an electronic format wherever possible. They've also agreed to ensure they complete their registration for online access as soon as possible in order to be able to reach it. I've told them that they'll receive paper correspondence until they've completed their registration for online access.

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've provided my client(s) with a copy of the relevant Nucleus terms and conditions, charges, key features documents, permitted investments list and the Nucleus privacy notice.

New business

1. Full client details ✓
2. Product selection ✓
3. ISA
 - Payments in ✓
 - Adviser charges ✓
 - Investment selection ✓
4. Review ✓
5. Documents and declarations
6. Confirmation

Save and exit

Cancel

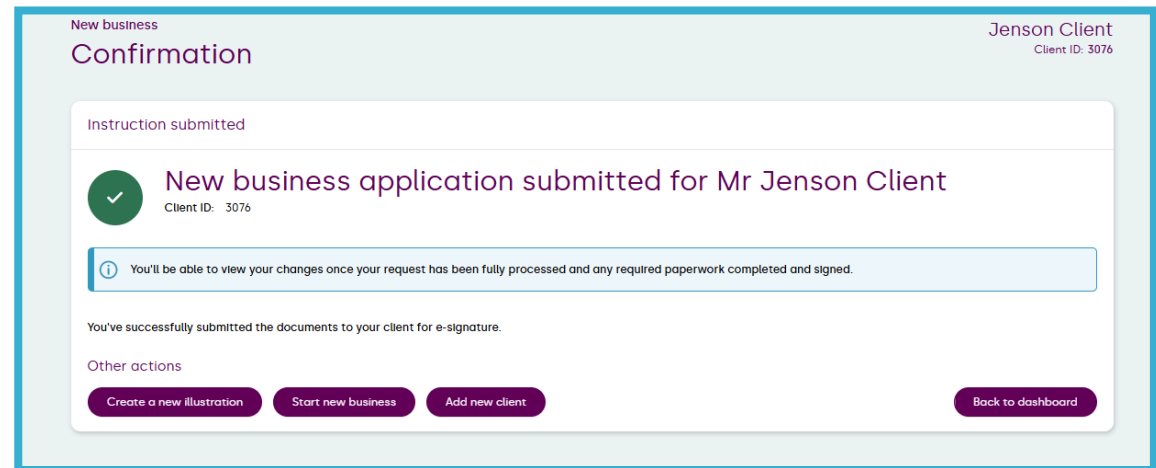
Submit

The application has been submitted.

Key message

Submitting this application creates the account. To activate the account a signature from the client is required and the client must pass regulatory checks.

From this page you can **'Create a new illustration'**, **'Start new business'**, **'Add new client'** or go **'Back to the 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.

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