

# Nucleus platform user guide

# Tools - alerts and events history

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## Introduction

### What is an alert?

An alert is an email notification of a specific event, transaction or status on a client account. Setting up an alert for a specific event ensures you're notified automatically without having to access the platform or contact us.

### Event history

Event history is accessed on the tools tab and can be used to determine the clients and accounts included in an event, status or transaction for a specific time period.

This guide shows you how to set up an alert or check event history on the platform.



You don't have to set up a corresponding alert to run an event history.

## Guide

### 1.0 Alerts

#### 1.1 What alert options are available?

Alert type	Option	Notes
APS expiry date alert	APS expiry date	Not in use
Auto sell down	Sell down – has occurred	Issued the day after trades are ordered for auto sell down
	Sell down – is required	Issued the day after a regular withdrawal is set up if current available cash is insufficient to cover the withdrawal
	Sell down – will occur	Issued the day after a regular withdrawal is set up if current available cash is insufficient to cover the withdrawal
Cash balance	Cash balance above 5%	Where the cash balance is in excess of 5%
	Cash balance below 1%	Where the cash balance falls between 0-1%
	Cash balance below 2%	Where the cash balance falls between 1-2%
Failed disinvestment	Withdrawal disinvestment failure	Issued where auto disinvestment fails to generate trades when switched on for regular withdrawals
Fees	Advice fee paid	After payment of an initial fee
	Trail fee paid	After payment of the monthly adviser fee
Jisa age processing	Jisa aged 16	Issued four weeks prior to the child's 16th birthday
	Jisa aged 18	Issued four weeks prior to the child's 18th birthday

Alert type	Option	Notes
Other	PCLS paid	Issued the day after PCLS is paid from a drawdown account. If you don't know the drawdown account number (where the pension account is set up initially and where we're creating a new drawdown account) we recommend you set this alert for 'all accounts' to capture the new account number.
	Portfolio rebalance failed (ad hoc rebalances only)	Issued the day after an ad hoc rebalance fails. The email will provide more detail of the reason for failure.
	Statutory review produced	Issued the day after a new statutory review is uploaded to the client's correspondence page
	Tax relief applied	Issued the day after tax relief is applied to the client's account
Re-registrations	Re-registration completed	All funds/units expected have been received and applied to the account
	Re-registration confirmed	No longer in use
	Re-registration instructed	We have processed the transfer and await the transferring provider's confirmation
	Re-registration submitted	Application is keyed but not yet received and/or processed by us
Trading	Buy order created	After the buy order has been submitted on the client's account
	Sell order created	After the sell order has been submitted on the client's account
	Switch order created	After the switch order has been submitted on the client's account
	Trade order confirmed	Covers buy, sell, switch – when the contract note is received from fund manager
	Trade order placed	Covers buy, sell, switch – when the trade is ordered at the fund manager
Transfers	Trade order settled	Covers buy, sell, switch – when cash or units received from the fund manager are applied to the account
	Transfer completed	Cash applied to the client's account
	Transfer confirmed	No longer in use
	Transfer instructed	We've processed the transfer and await the transferring provider's confirmation
Withdrawals	Transfer submitted	Application keyed but not yet received and/or processed by us
	Lump sum withdrawal	Issued after the withdrawal leaves the client's account
	Regular withdrawal*	Issued after a regular withdrawal leaves the client's account

\* The alert is activated on the effective date of the withdrawal and not the priced date of it leaving. There may be occasions where a regular withdrawal is delayed due to unpriced transactions. If this occurs, we'll inform you as soon as possible.

## 1.2 How often do I get an alert?

The email notification will be sent to you the day after the event has taken place, the transaction was applied or the status was changed. The email is generated overnight so will usually be waiting for you the following morning.

Where relevant, you'll receive an email every day until the event is no longer applicable.

For example:

Cash balance above 5% – a daily notification will be sent until the client's cash balance reduces below 5%. These notifications will continue until the rebalance or buy has completed and the cash position has changed.

## 1.3 If I have alerts set up for multiple clients will I receive multiple emails?

No, you'll receive one email per alert type, per day (if the event has taken place).



If you have multiple accounts within the alert type these will all be included in one email.

## 1.4 Are alerts automatic?

No, you need to set up all the alerts you'd like to receive.

## 1.5 Who receives the alert?

The alert is sent to the user who set it up.

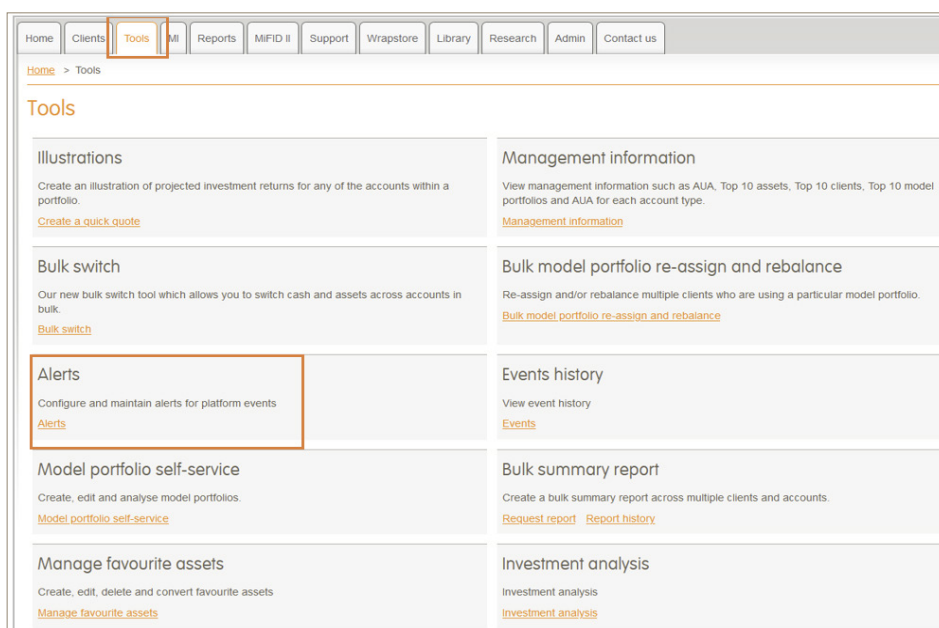
### 1.5.1 Can I set up alerts for a colleague?

No, all email alerts set up with your access will be sent to you.

## 2.0 How do I set up an alert?

### 2.1 Accessing Alerts

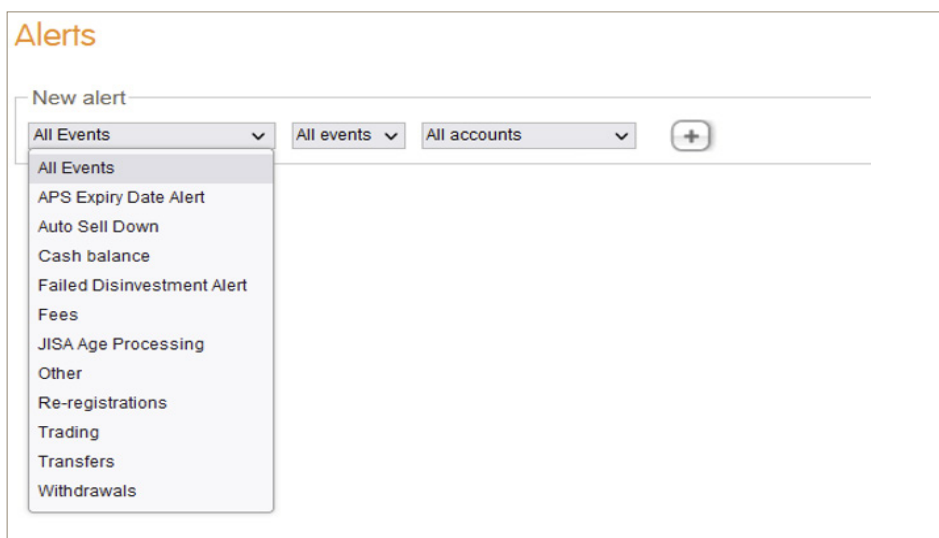
Go to the 'tools' tab, then click on 'alerts'.



### 2.2 Selecting tools/alerts

This shows a screen which includes:

- Alert set up options
- Display of existing alerts set up for your access



## 2.3 Setting up an alert

### 2.3.1 Event type

Current available options as set out above and in section 1.1.

'All events' will set up an alert for each available event type for your client/account selection.

### 2.3.2 Alert option

Current alert options as set out in section 1.1.

'All events' will set up an alert for each available option for your client/account selection.

### 2.3.3 Selecting the client/account

The screenshot shows a web interface titled "Alerts". Below the title is a "New alert" section. It contains three dropdown menus: "All Events", "All events", and "All accounts". The "All accounts" dropdown is open, showing three options: "All accounts", "Accounts belonging to", and "An account". To the right of the dropdowns is a plus sign button (+).

All accounts	All accounts for all advisers where you have client access
Accounts belonging to	All accounts belonging to a particular adviser
An account	One specific client account

Once you've finished your selection click the  button.



You can continue to add further alert types until you set up all the alerts you need.

## 2.4 Checking which alerts you have set up

The following example shows Joe Bloggs has two alert types set up.

- (i) Sell down has occurred for all accounts belonging to AN Adviser
- (ii) Cash balance has fallen below 2% for all accounts for all advisers

### Alerts

New Alert

Cash balance All events All accounts +

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#### Auto Sell Down

<input type="checkbox"/>	Event type	Alert recipient	Alert for
<input type="checkbox"/>	Sell down – has occurred	joe.bloggs@nucleusfinancial.com	All accounts for adviser: AN Adviser - 1030563

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#### Cash balance

<input type="checkbox"/>	Event type	Alert recipient	Alert for
<input type="checkbox"/>	Cash balance below 2%	joe.bloggs@nucleusfinancial.com	All accounts

## 2.5 How can I cancel an alert?

Go to the 'tools' tab, then click on 'alerts'.

Your active alert options will be displayed as set out in section 2.4.

### Auto Sell Down

<input type="checkbox"/>	Event type
<input checked="" type="checkbox"/>	Sell down – has occurred

Select the alert to be removed and click on . The alert will disappear from your screen.

## 2.6 What does the alert email look like?

Basic information is provided in the email as shown below. For more detail and access to the client account use the 'event history' tool.

### Cash balance below 1% alert example

From: noreply@nucleusfinancial.com [mailto:noreply@nucleusfinancial.com]  
Sent: 01 December 2019 06:48  
To: Joe.Bloggs <Joe.Bloggs@nucleusfinancial.com>  
Subject: Nucleus alert – cash balance below 1%

### Nucleus platform alert

The following events occurred on the platform on Friday Nov 29 05:02:45 GMT 2019:

Log in to the platform, select 'tools' and then 'event history' for more information.

- Cash balance below 1%: N120XXX – Julian M Storey – Pension (former PR)
- Cash balance below 1%: N120XXX – Claire Wilkinson – Pension (former PR)
- Cash balance below 1%: N121XXX – Pollyanna Small – Pension
- Cash balance below 1%: N121XXX – Julie Smith – Pension
- Cash balance below 1%: N122XXX – Donald James – Drawdown (former PR)

### Portfolio rebalance failed example

From: noreply@nucleusfinancial.com [mailto:noreply@nucleusfinancial.com]  
Sent: 08 June 2020 05:29  
To: Joe.Bloggs <Joe.Bloggs@nucleusfinancial.com>  
Subject: Nucleus alert – portfolio rebalance failed

### Nucleus platform alert

The following events occurred on the platform on Monday Jun 08 03:35:27 BST 2020:

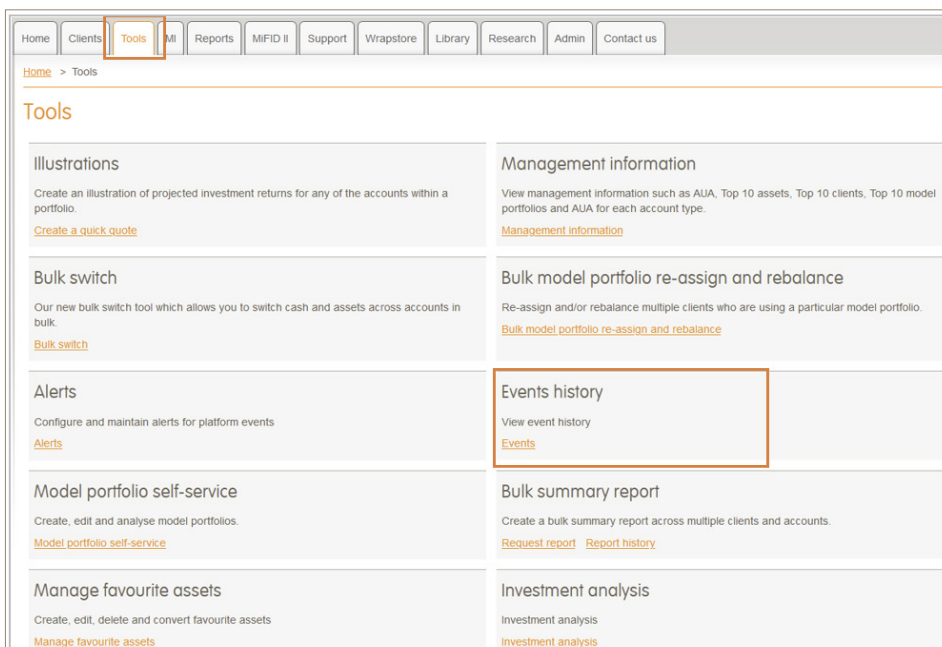
Log in to the platform, select 'tools' and then 'event history' for more information.

- Unpriced transactions exist for account N10XXXX: N10XXX – Neil Jones – Isa
- Unpriced transactions exist for account N14XXXX: N14XXXX – Maria Kerr – Isa
- Account N123XXX has assets marked as 'exclude from rebalancing' in its rebalancing profile, therefore the account can't be processed: N123XXX – Susan Davis – Isa
- Requested switch out amount of 0.040000 for account N789XXXX does not meet the minimum of 1.000000 allowed for L&G Dynamic Bond I Acc. An investment transaction has not been created as this fund has been excluded: N789XXX – Anthony Pauls – PEP (Isa)

### 3.0 Events history

#### 3.1 Accessing events history

Go to the 'tools' tab, then select 'events history'.



#### 3.2 Events history options

The event options are the same as the alert options.



### 3.3 Running an event history report

Select the event type, the adviser and required date range to provide a list of all the accounts included in that event.

**Event history**  
History of events generated in the system.

Auto Sell Down | Sell down – is required | event type(s) for All advisers | for the period 01/11/2016 - 01/12/2016 | Search

(1 of 1314) | 1 2 3 4 5 6 7 8 9 10 | 15

Date	Event type	Alert for	Action
01/12/2016	Sell down – is required	Account: <a href="#">Onshore Bond (SFA) - N110XXX</a> - Mr K & Mrs R XXXX	
01/12/2016	Sell down – is required	Account: <a href="#">General - N184XXX</a> - Mr B XXXXX	
01/12/2016	Sell down – is required	Account: <a href="#">Drawdown - N20XXX5</a> - Mrs S XXXXX	

Clicking on the account number link will access the client account on the platform.

Clicking the magnifying glass icon will expand the detail and show the screen below:

**Event details**

Date: 01/12/2016  
Event type: Sell down – is required  
Alert for: Account: [Onshore Bond \(SFA\) - N110XXX](#) - Mr K & Mrs R XXXX

(1 of 1) | 1 |

Date	Event details
01/12/2016	Sell down – is required Account: <a href="#">Onshore Bond (SFA) - N110XXX</a> - Mr K & Mrs R XXXX

(1 of 1) | 1 |

Close

Clicking on the account number link will access the client account on the platform.

### 4.0 Further support

For questions on alerts and event history, or any aspect of client servicing, please contact your Client Relations Manager.