

For advisers

Our new
platform

nucleus^o
platform

How to process a
company GIA new
business application

 5 minute read



How to process a company GIA 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 a company GIA new business application



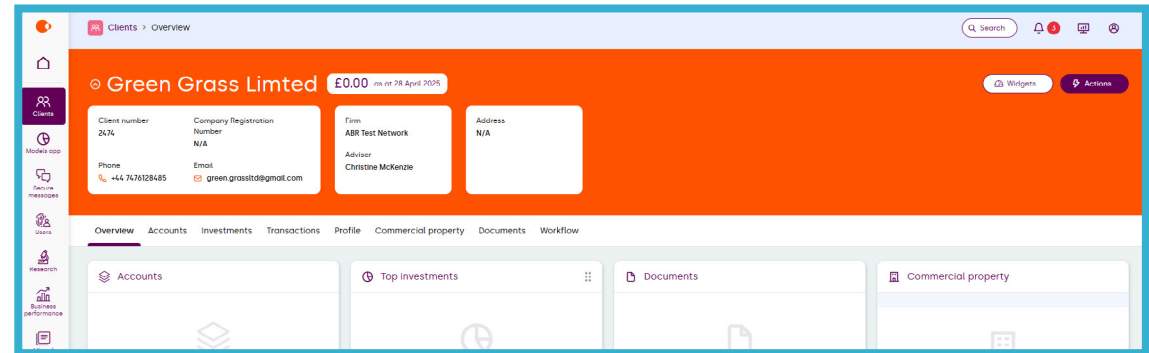
This guide is demonstrated using an adviser user with master user role permissions. If you have different user role permissions, some functionality may not be available to you.

Key message

To start the company General Investment account (GIA) new business application, you first need to create your client or find an existing client. To create a client or search for an existing company please refer to the guides on our website.



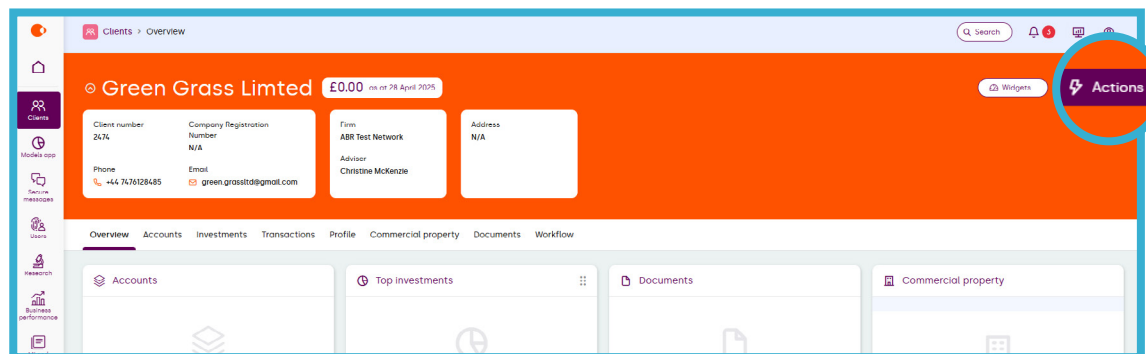
If your client will be taking regular withdrawals, withdrawal information and bank account details will be required for this application.



Once you've created and found your client, you can refer to this guide to create a GIA new business application.

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

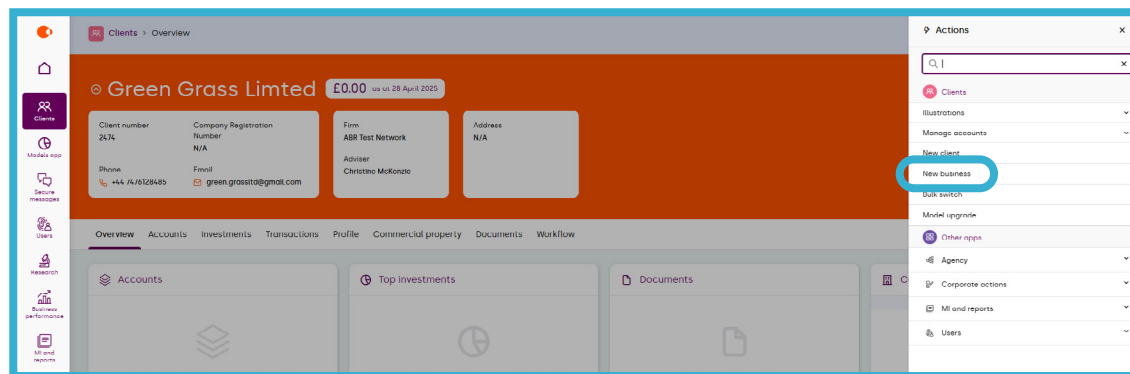
A list of actions will appear. To create the new business application, select **'New business'**.



Key message

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

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



Full client details



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

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

Enter the company's contact details into the required fields.

New business Green Grass Limited
Client ID: 2474

Full client details

Hierarchy selection

Firm
ABR Test Network (JHPDAAAAC) ▾

Assign an adviser
Loretta Flack (JHPDAAAAC000013) ▾

Adviser

Did you give financial advice to your client in relation to this instruction?
 Yes No

Company details

Company name
Green Grass Limited

Email address (optional)
green.grassltd@gmail.com

Phone (optional) Country Phone number (optional)
Mobile ▾ UK (+44) ▾ 0777 123456 [Add another](#)

New business

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

Save and exit

Cancel

Next: Product selection



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

Enter the company'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.

Key messages

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

The screenshot displays the 'New business' application form. The 'Address' section includes a search bar with 'SP1 2BP' entered, a dropdown menu with three results, and a 'Registered address' field. A yellow warning box states 'Financial adviser business addresses can't be used.' and another yellow box notes 'If this address for correspondence, we need to receive written confirmation from the company. You can send this to us by secure message or in writing to Nucleus, Salisbury, SP1 3TB.' Below the search results is a radio button question: 'Use this address for all correspondence?' with 'Yes' selected. The 'Regulatory' section contains fields for 'Company registration number' (1B34N678), 'Country of establishment/incorporation' (UK), 'Tax reporting country' (UK), and 'LEI code' (1234567A2N98DDEN4B22). On the right, the 'New business' progress bar shows steps: 1. Full client details, 2. Product selection, 3. Review, 4. Documents and declarations, 5. Confirmation. At the bottom of the progress bar are buttons for 'Save and exit', 'Cancel', and 'Next: Product selection'.

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

Enter the company registration number – this must be an 8-character alpha numeric number.

Select the country of establishment / incorporation from the drop-down list.

Select the tax reporting country from the drop-down list.

Enter the Legal Entity Identifier (LEI) code.



The LEI code must be a 20-character, alpha numeric code. This enables identification of legal entities participating in financial transactions. If you don't enter details of the applicants LEI code, it won't be possible to trade in exchange traded instruments (ETIs).

Address

Registered address

SP1 2BP Or [enter an address manually](#)

J F C Financial Services, Milford House 43-55, Milford Street Salisbury, SP1 2BP

Nucleus Group Services Ltd, Milford House 43-55, Milford Street Salisbury, SP1 2BP

Paul Jones Financial Services Ltd,

adviser business addresses can't be used.

address for correspondence, we need to receive written can send this to us by secure message or in writing to Nucleus, Salisbury, SP1 3TB.

Use this address for all correspondence?

Yes No

Regulatory

Company registration number

1B34N678

Country of establishment/incorporation

UK

Tax reporting country

UK

LEI code

1234567A2N98DDEN4B22

New business

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

Save and exit

Cancel

Next: Product selection

Enter the directors name into the search bar and select **'Search'**.

Select **'Add'**.

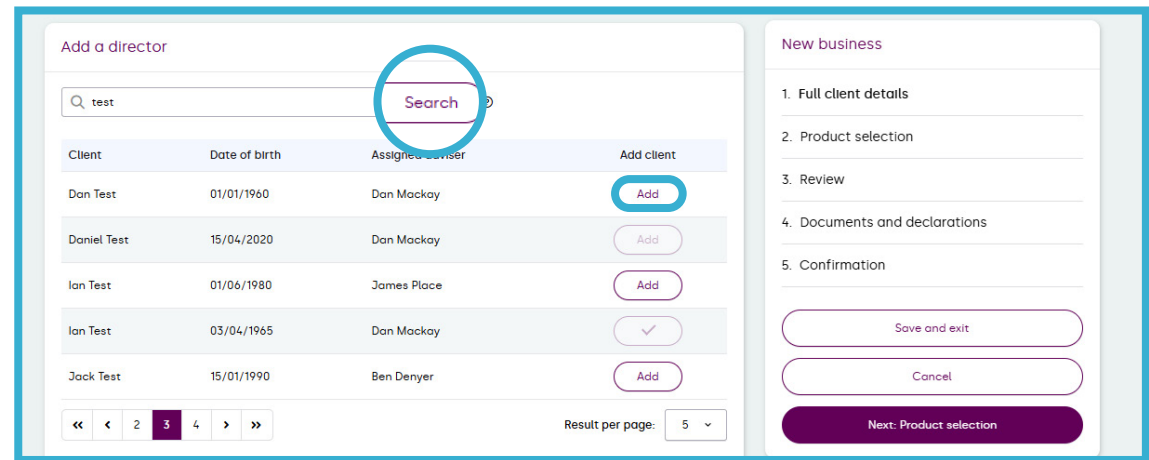
Key message

The selected adviser will determine the clients that can be selected as directors.

If the director is an existing client, this information will be pre-populated.

If the client is a new director, the name and date of birth will be pre-populated. Enter the director's:

- Phone number
- National Insurance number
- Nationality
- Address
- Tax residency



If there are multiple directors select '**Add another director**', and enter all required information.

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

The screenshot shows a web interface for adding a director to a new business application. The main form area contains the following fields and options:

- Director List:** A table with columns for Name, Date of birth, and Phone number. It lists 'Ian Test' (DOB: 03/04/1965) and 'Ben Denyer' (DOB: 15/01/1990). There is an 'Add' button and a pagination control showing page 3 of 4.
- Director Details:**
 - Name:** Ian Test
 - Date of birth:** 3 April 1965
 - Email address:** IanTest@testing.com
 - Phone:** Mobile (dropdown), Country: UK (+44) (dropdown), Phone number: 07777 123456
 - Tax residency:** UK (dropdown)
 - National Insurance number:** AB123456B
 - Country of nationality:** UK (dropdown)
 - Address:** 10 Fernacre Road, Swindon, SN1 7BT, UK. There is an edit icon next to the address.
- Warning:** A yellow box with an information icon states: "Please note PO boxes, 'care of' or financial adviser business addresses can't be used."
- Correspondence:** A question "Use this address for all correspondence?" with radio buttons for "Yes" (selected) and "No".
- Bottom Action:** A button labeled "+ Add another director".

The right sidebar, titled "New business", shows a progress list:

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

At the bottom of the sidebar are three buttons: "Save and exit", "Cancel", and "Next: Product selection" (highlighted in purple).

Product selection

Confirm if you'd 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 home page. This name will be visible to your client in their customer portal.

New business Green Grass Limited
Client ID: 2474

Product selection

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

Please provide an account name

Please select from below

Standard Nucleus Platform products
 Nucleus Flexi SIPP

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

Nucleus GIA
 Nucleus Offshore Bond

Information icon Please select at least 2 directors or partners to proceed with the Offshore Bond application.

GIA options
Do you wish to take regular withdrawals?
 Yes No

New business

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

Select '**Standard Nucleus platform products**'.

Key message

The adviser firm the client is associated with determines what propositions are available for selection. You can select multiple products from the available list to include in this application.

Select '**Nucleus GIA**'.

Confirm all GIA options details.



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

Once you're happy with your product selection select '**Next: Payments in**' to move on to the payments selection page.

Payments in

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

Key message

You can select multiple payment types in one application.

The screenshot shows a web interface for a 'New business' application. The main heading is 'Payments in'. The form is divided into three sections: 'Single payments in', 'Regular payments in', and 'Transfers'. Each section has a title and a 'Single payment' or 'Regular payment' label with 'No' and 'Yes' radio buttons. The 'Transfers' section has a 'Transfer In' label with 'No' and 'Yes' radio buttons, where 'No' is selected. A yellow warning box below the 'Transfers' section states: 'Your client must sign a transfer authority form for each transfer.' On the right side, there is a sidebar with a progress indicator for 'New business' steps: 1. Full client details (checked), 2. Product selection (checked), 3. GIA (selected), 4. Review, 5. Documents and declarations, and 6. Confirmation. Below the progress indicator are three buttons: 'Save and exit', 'Cancel', and 'Next: Adviser charges'.

New business Green Grass Limited
Client ID: 2474

Payments in

Single payments in

Single payment
 No Yes

Regular payments in

Regular payment
 No Yes

Transfers

Transfer In
 No Yes

! Your client must sign a transfer authority form for each transfer.

New business

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

Payments in

Adviser charges

Investment selection

Save and exit

Cancel

Next: Adviser charges

Single payments



Single payments must be sent via bank transfer using our bank details, located 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.

New business Green Grass Limited
Client ID: 2474

Payments in

Single payments in

Single payment
 No Yes

Payments detailed in this application (by any payer) should not be made until this account is created. This will happen once all required consent and signatures have been obtained from the client. You'll receive a platform notification when the account has been created and payments in can be made.

Client

Single payment Payment method

New business

1. Full client details ✓
2. Product selection ✓
3. GIA
 - Payments in
 - Adviser charges
 - Investment selection
4. Review

Regular payments

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



The first collection date can be any date from 1 – 28 of the month.

There's a minimum of 10 working days required to set up the Direct Debit instruction.

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

Select the bank account from the drop-down list.

If you need to add a new bank account, please select '**Add new bank account**' and complete the client's bank details.

Regular payments in

Regular payment
 No Yes

Client

Regular payment
£ 250

Payment frequency
Monthly

First collection date
01/05/2025

Until date
Until further notice

An online Direct Debit can only be set up only with client consent. The Direct Debit Instruction for signature will be available at the Documents and Declarations step.

Payment method
Direct Debit

Bank account
Please select

[Add new bank account](#)

New business

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

Save and exit

Cancel

Next: Adviser charges

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

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

The screenshot shows a web interface with two main sections: 'Bank account details' and 'New business'.

Bank account details:

- Owner:** A dropdown menu with 'Company' selected.
- Bank name:** A text input field containing 'Barclays'.
- Sort code:** Three input fields containing '20', '60', and '30'.
- Account number:** A text input field containing '09876544'.
- Building society roll number (optional):** An empty text input field.
- Account name:** A text input field containing 'Test company'.
- Address line 1 (optional):** An empty text input field.
- Address line 2 (optional):** An empty text input field.
- Address line 3 (optional):** An empty text input field.
- Postcode (optional):** An empty text input field.
- Direct Debit instruction:** A checkbox that is checked.
- Nominated account for withdrawals:** An unchecked checkbox.

Informational messages:

- At the top: '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.'
- At the bottom: '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.'

New business:

- A progress list with 6 steps: 1. Full client details (checked), 2. Product selection (checked), 3. GIA, 4. Review, 5. Documents and declarations, 6. Confirmation.
- Under step 3, there are three sub-sections: 'Payments in', 'Adviser charges', and 'Investment selection'.
- At the bottom of the 'New business' section are three buttons: 'Save and exit', 'Cancel', and 'Next: Adviser charges'.

Form controls:

- 'Cancel' and 'Save' buttons are located at the bottom of the 'Bank account details' section.

Transfer payments

Select 'Yes'.

Enter the transferring scheme name into the search bar and select the provider from the search list.

Key message

If you're unable to locate the transferring scheme using the search bar, you can add the details manually by selecting '**Add provider manually**'. Please be aware that adding a transferring scheme manually when it is available from the search bar may lead to delays in processing the transfer.

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

Transfers

Transfer In
 No Yes

! Your client must sign a transfer authority form for each transfer.

Transfer 1

Transferring scheme
James Hay Pension Trustees Limited [+ Add provider manually](#)

Electronic transfer supported?
No

Transfer type
 Cash Re-register assets

Estimated current value
£ 200000

Account number
4567890
Providing the account number will help to process the transfer.

Full or partial transfer
 Full Partial

[+ Add another transfer](#)

Cash transfer payments

Enter all the transfer details.

Key message

You can add multiple transfers from different providers in one application, by selecting '**Add another transfer**'.

Transfers

Transfer In
 No Yes

! Your client must sign a transfer authority form for each transfer.

Transfer 1

Transferring scheme
 [+ Add provider manually](#)

Electronic transfer supported?
No

Transfer type
 Cash Re-register assets

Estimated current value

Account number

Providing the account number will help to process the transfer.

Full or partial transfer
 Full Partial

[+ Add another transfer](#)

Re-registered assets

Enter all transfer details.

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

Enter each asset's 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.

Key message

You can add multiple transfers from different providers in one application, by selecting '**Add another transfer**'

Transfer 2

Transferring scheme
 [+ Add provider manually](#)

Electronic transfer supported?
No

Transfer type
 Cash Re-register assets

Total estimated transfer value
£167,972.79

Account number

Providing the account number will help to process the transfer.

Full or partial transfer
 Full Partial

Assets to be re-registered
Funds Exchange traded Other investments

[★ Favourites](#)

[Advanced search](#)

Code	Investment	Quantity (units)	
BF85.GB	7IM AAP Balanced C Acc	<input type="text" value="4000"/>	
00P8.GB	BlackRock Cash D Acc	<input type="text" value="56000"/>	

If more units are held than specified, we'll transfer all units held for this account number.

Cash portion of the transfer
£

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

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

Code	Investment	Quantity (units)	
BFBS.GB	7IM AAP Balanced C Acc	4000	
00P8.GB	BlackRock Cash D Acc	5600	

If more units are held than specified, we'll transfer all units held for this account number.

Cash portion of the transfer
£ 5000

Add another transfer

Source of wealth

Source of wealth

Please select

Save and exit

Cancel

Next: Adviser charges

Adviser charges

If you're applying for an initial adviser charge, please enter the amount and select '£' or '%'.
Estimated £3,000.00

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



You can find out more information about adviser charges at either head or product level, on our website.

Key message

Flat rates and annual rates can only be applied to products.

Head account ongoing adviser charges will require tiering.

New business Green Grass Limited
Client ID: 2474

Adviser charges

Adviser charges

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

1 % £ %

Estimated £3,000.00

Initial adviser charge ⓘ
Charge amount should be gross of VAT (for re-registration transfers)

£ 100 £ %

Ongoing Adviser Charge (OAC)

Ongoing Adviser Charge (OAC) charged on
 Head account Product

New business

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

Head account ongoing adviser charge

Choose 'Head Account'

Select the 'Tiers' drop-down to select a tiering structure that's saved on your network.

To create new tiering groups, enter the low limit amount and then select 'Insert tier'

Repeat step, to set up all tiering groups.

Enter a percentage rate for each group.

Key message

You can set up a maximum of 11 tier groups.

Select the frequency from the drop-down list.

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

Ongoing Adviser Charge (OAC)

Ongoing Adviser Charge (OAC) charged on

Head account Product

Tiers

JHP-65115

Add lower limit

£

Tiering group	Rate	Action
First £5,000.00	5 %	<input type="button" value="Delete"/>
From £5,000.00 to £8,000.00	4 %	<input type="button" value="Delete"/>
From £8,000.00 to £12,000.00	3 %	<input type="button" value="Delete"/>
From £12,000.00 to £18,000.00	2 %	<input type="button" value="Delete"/>
From £18,000.00 to £25,000.00	1 %	<input type="button" value="Delete"/>
From £25,000.00	0.5 %	<input type="button" value="Delete"/>

Frequency

Monthly

Do you want to exclude assets when calculating OAC?

Yes No

New business

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

Payments in ✓

Adviser charges

Investment selection

Product ongoing adviser charge

Select '£' or '%'.

Confirm if the product ongoing adviser charge is tiered.

If the ongoing adviser charge isn't tiered, 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.

The screenshot shows a form titled "Ongoing Adviser Charge (OAC)". The form is divided into two main sections: the main configuration area on the left and a sidebar on the right.

Main Configuration Area:

- Ongoing Adviser Charge (OAC) charged on:** Radio buttons for "Head account" (unselected) and "Product" (selected).
- Charge type:** Two buttons, "£" (unselected) and "%" (selected).
- Do you wish to set up tiers?:** Radio buttons for "Yes" (unselected) and "No" (selected).
- Annual rate:** A label "Charge amount should be gross of VAT" above a text input field containing "1" and a "%" symbol.
- Frequency:** A dropdown menu currently showing "Monthly".
- Do you want to exclude assets when calculating OAC?:** Radio buttons for "Yes" (unselected) and "No" (selected).

Sidebar (Right):

- Progress indicator "3. OAC" with a checkmark.
- Menu items: "Payments in" (checked), "Adviser charges", and "Investment selection".
- Steps: "4. Review", "5. Documents and declarations", and "6. Confirmation".
- Buttons: "Save and exit", "Cancel", and "Next: Investment selection" (highlighted in purple).

Regular adviser charge



The regular adviser charges 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.

The screenshot shows a form titled 'Regular adviser charges' with the following elements:

- A question: 'Do you want to exclude assets when calculating OAC?' with radio buttons for 'Yes' and 'No'. The 'No' option is selected.
- An information box: '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.'
- A section for 'Fee payment' with the note 'Charge amount should be gross of VAT'. It includes a text input field containing '£ 25'.
- A 'Frequency' dropdown menu set to 'Monthly'.
- A 'Number of fee payments' text input field containing '24'.
- Summary information: 'Total fee amount: £600.00' and 'Projected end date: 01 May 2027'.
- Navigation buttons on the right: 'Save and exit', 'Cancel', and a prominent purple button labeled 'Next: Investment selection'.

Investment selection

Select the investment type across the headings shown.



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 totals equals 100%.

Key message

If there's an investment for a specific product which is non-tradable, this will be shown as 0% and can't be amended.

New business
Green Grass Limited
Client ID: 2474

Investment selection

Investment selection

Funds Exchange traded Managed portfolios Adviser portfolios Other investments

[★ Favourites](#)

Q

[Advanced search](#)

Investment

Investment name	Single + Cash transfer	Regular monthly
<input checked="" type="radio"/> 7IM AAP Moderately Cautious C Acc	80 % <input type="text"/>	80 % <input type="text"/> <input type="button" value="🗑"/>
<input checked="" type="radio"/> BlackRock Absolute Return Bond D Acc	20 % <input type="text"/>	0 % <input type="text"/> <input type="button" value="🗑"/>
Cash	0 % <input type="text"/>	20 % <input type="text"/>
Total	100%	100%

Distribution preference

Please select from one of the following options:

Reinvest

Leave as cash in GIA

Transfer to a nominated bank account

New business

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

Select a Distribution preference.

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

New business

Green Grass Limited
Client ID: 2474

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 Moderately Cautious C Acc	80 %	80 %
<input checked="" type="radio"/> BlackRock Absolute Return Bond D Acc	20 %	0 %
Cash	0 %	20 %
Total	100%	100%

Distribution preference

Please select from one of the following options:

Reinvest

Leave as cash in GIA

Transfer to a nominated bank account

New business

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

Save and exit

Cancel

Next: Review

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: Documents and declarations**' to move on to the declaration and documents page.

New business
Green Grass Limited
Client ID: 2474

Review

Company client details

Company name	Green Grass Limited
Company registration number	12345678
LEI Code	12345678900987650000
Email address	green.grasstd@gmail.com
Mobile number	+44 07777 123456
Residential address	10 Fernacre Road, Swindon, SN1 7BT, UK
Correspondence address	Same as residential
Director name	Ian Test
Director email address	ianTest@testng.com
Director mobile number	+44 07777 123456
Director country of nationality	UK
Director tax residency	UK
Director National Insurance number	AB123456B
Paperless preference	Yes

GIA

Account type	Individual
--------------	------------

Adviser charges

Initial adviser charge	1%
Initial - Re-register transfers	£100.00
Ongoing adviser charged upon	Product
Ongoing	1%
Frequency	Monthly
Spread fee payment	£25.00

New business

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

Save and exit

Cancel

Next: Documents and declarations

Declarations and documents

A wet signature is the only option available for company applications.

Key message

Documents can't be amended once submitted. If there are any amendments to be made to documentation you will need to resubmit the application to generate new documents.

New business
Green Grass Limited
Client ID: 2474

Documents and declarations

Documents

How do you wish for your client to sign?

Wet signature

i After clicking 'Submit' please access documents that require signing, plus any supporting documents, from the document library. Please arrange for these to be printed and sent to the client to be signed and returned.

i Sorry, we aren't able to offer a digital signature option for this application type. We require a wet signature.

i Please download and share these document(s) with the client(s) to be signed. Once signed, please send us a secure message with these documents attached to proceed. If you have any concerns or wish to amend the application, please contact us.

Documents available

Documents to be sent to the client requiring signature

- [Review Schedule \(GIA\) \(390810\)](#)
- [Adviser Charges Confirmation \(390818\)](#)
- [Direct Debit Instruction \(signature\) \(390815\)](#)

Documents to be completed and sent to us by secure message

- [Transfer Form \(390816\)](#)
- [Transfer Form \(390812\)](#)
- [Authorised Signatory List](#)

Supporting documents to be sent to the client

- [GIA Illustration \(390811\)](#)
- [Ex-Ante C&C Disclosure \(390809\)](#)
- [Target Market Information](#)
- [Key Investor Information Document](#)
- [Instruction Transmission Policy](#)

New business

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

Save and exit

Cancel

Submit

Read through the declarations and tick to confirm completion.

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

The screenshot shows a web form for a new business application. It is divided into two main sections: 'Declarations' on the left and 'New business' on the right.

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 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**
 - 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.
 - 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.

New business

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

At the bottom of the 'New business' section, there are three buttons: 'Save and exit' (light purple), 'Cancel' (light purple), and 'Submit' (dark purple).

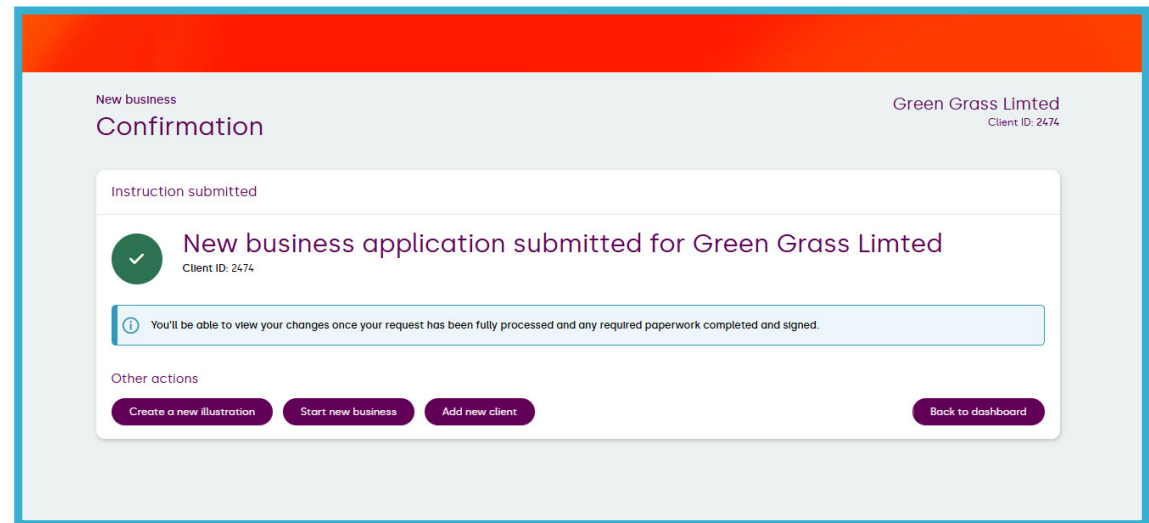
The application has been submitted.


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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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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