

For advisers

Our new
platform

nucleus^o
platform

How to edit an ongoing adviser charge

🕒 2 minute read



How to edit an ongoing adviser charge

Edit an ongoing adviser charge	5
Declarations and documents	8

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.

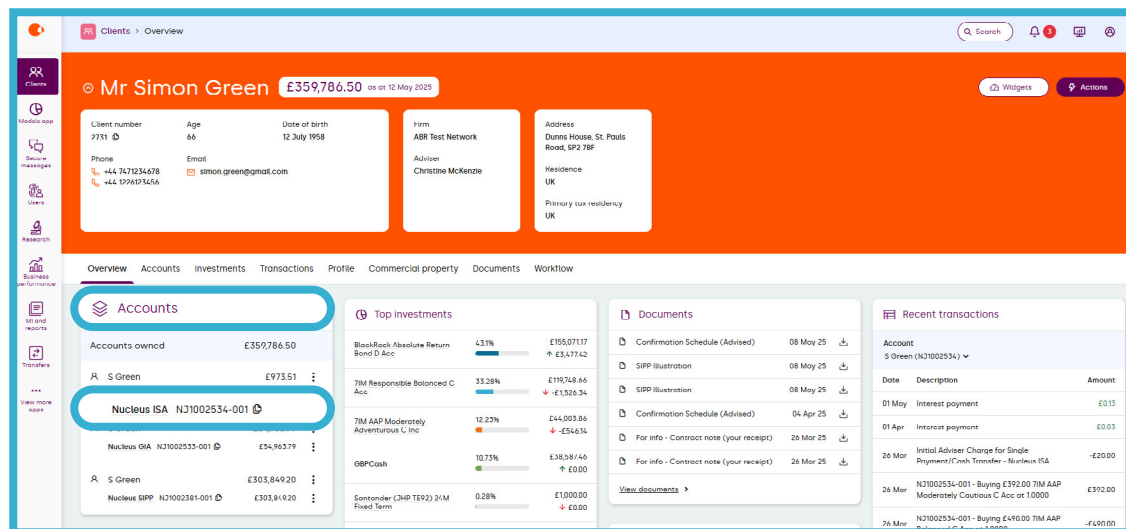
 We recommend using the zoom function to view the details on the platform screens in this guide.

How to edit an ongoing adviser charge

To edit an Ongoing Adviser Charge (OAC), log in to your Nucleus platform account using your personal login details.

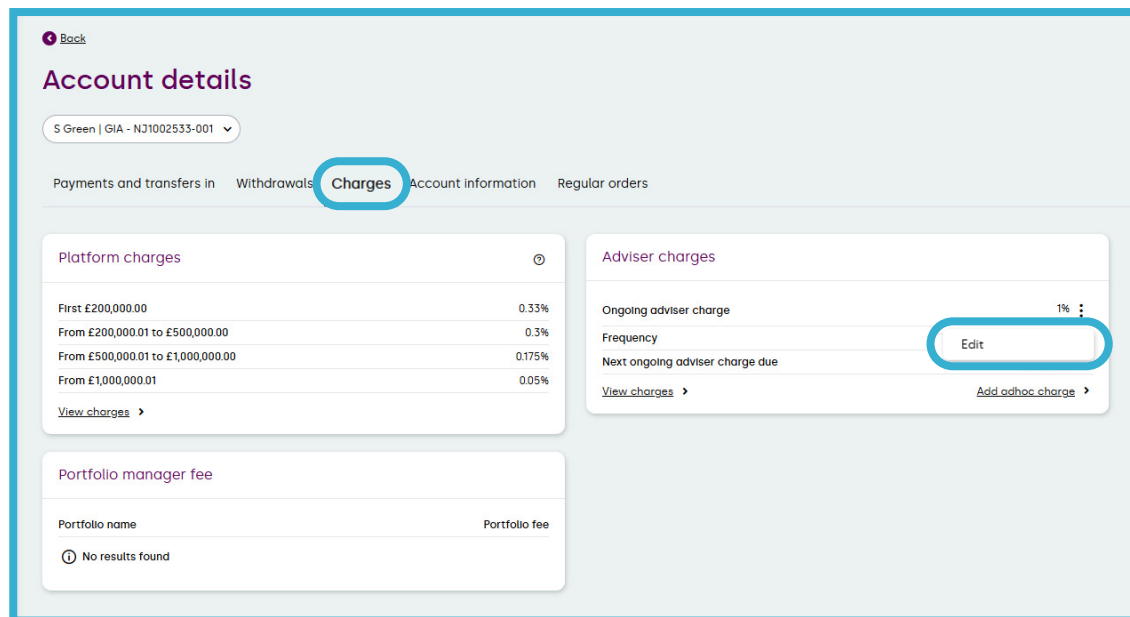
To edit the OAC, you first need to find your client. Please refer to the guides on our website to search for a client or create a new client.

From the client home page, within the **'Accounts'** widget, select the product you wish to edit the OAC.




Select the **'Charges'** tab.

On the Adviser charges box, select the ellipsis (three dots) next to ongoing adviser charge and then select **'Edit'**.



Edit an ongoing adviser charge

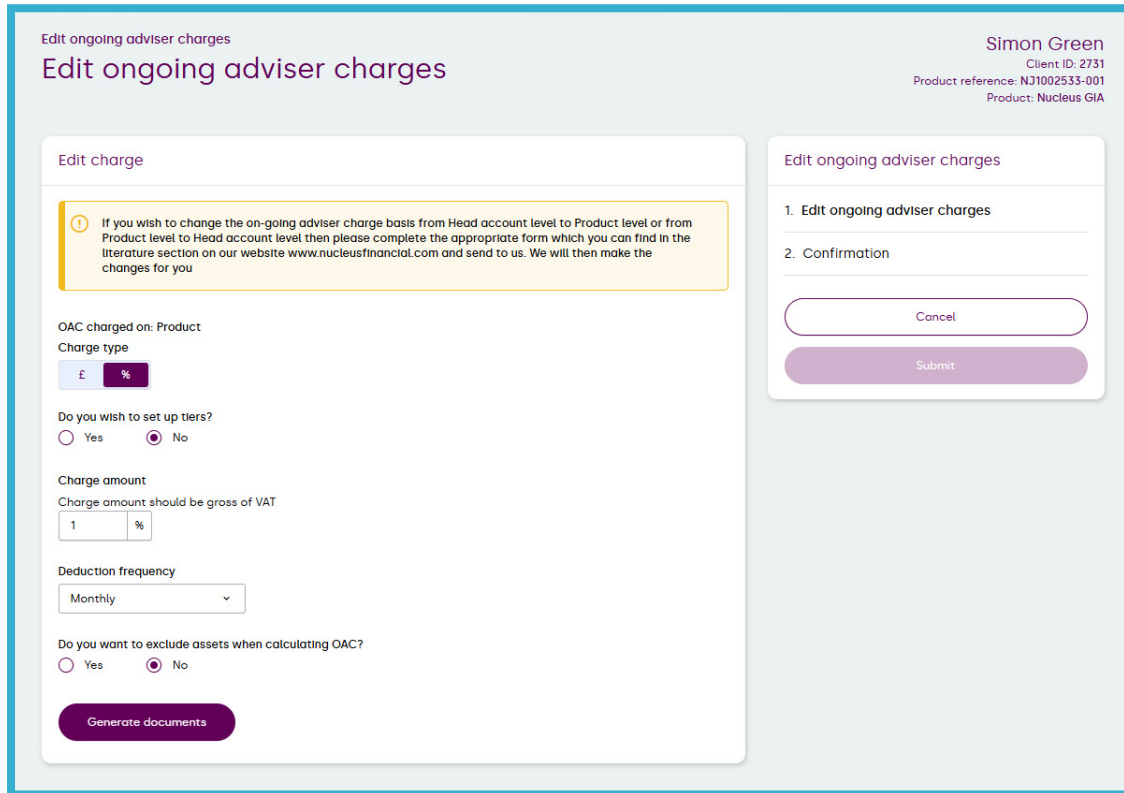


If you wish to change the OAC basis from head account level to product level or vice versa, then please complete and send back the appropriate form which you can find on our website. We'll then make the changes for you.

Select whether the OAC will be a monetary or percentage value.

Select whether you'd like to set up tiers .

If you're not setting up tiers, enter the annual rate.



The screenshot shows a web form titled "Edit ongoing adviser charges" for a client named Simon Green. The form includes a warning message about changing the charge basis, a "Generate documents" button, and a confirmation panel on the right with "Cancel" and "Submit" buttons.

Edit ongoing adviser charges

Simon Green
Client ID: 2731
Product reference: NJ1002533-001
Product: Nucleus GIA

Edit charge

! If you wish to change the on-going adviser charge basis from Head account level to Product level or from Product level to Head account level then please complete the appropriate form which you can find in the literature section on our website www.nucleusfinancial.com and send to us. We will then make the changes for you

OAC charged on: Product

Charge type
 £ %

Do you wish to set up tiers?
 Yes No

Charge amount
Charge amount should be gross of VAT
1 %

Deduction frequency
Monthly

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

Generate documents

Edit ongoing adviser charges

1. Edit ongoing adviser charges
2. Confirmation

Cancel

Submit

If you're setting up tiers, select the required tier system from the drop down. Then enter the amount for each tier.

Should the tiers available not be as desired, you can delete them using the bin icon, and add new ones using the text entry box.

Select the frequency from the dropdown.

The screenshot displays the 'Edit ongoing adviser charges' interface. At the top, it asks 'Do you wish to set up tiers?' with 'Yes' selected. Below this, the 'Tiers' section shows a dropdown menu with 'JHP-65115' selected. An 'Add lower limit' section includes a text input field with a pound sign and an 'Insert tier' button. The main part of the interface is a table with columns for 'Tiering group', 'Rate', and 'Action'. The table lists six tiers with their respective rates and bin icons for deletion. At the bottom, the 'Deduction frequency' is set to 'Monthly'.

Tiering group	Rate	Action
First £5,000.00	0.1 %	
From £5,000.00 to £8,000.00	0.2 %	
From £8,000.00 to £12,000.00	0.3 %	
From £12,000.00 to £18,000.00	0.4 %	
From £18,000.00 to £25,000.00	0.5 %	
From £25,000.00	0.6 %	

Confirm whether you'd like to exclude assets when calculating the ongoing adviser charge .

If assets are to be excluded, select from the list which types are to be excluded.



The adviser charge requested will be paid from available cash in the client's product account.

If there is insufficient available cash, we'll automatically sell selected investments proportionately to raise the cash required, in line with our published approach.

Please ensure there is sufficient available cash and investments to make this payment.

Do you want to exclude assets when calculating OAC?

Yes No

Which asset categories should be excluded:

- Product cash
- On platform funds
- On platform Exchange Traded Investments (ETI)
- Discretionary Investment Manager (DIM) models
- Adviser models
- Cash panel
- Other investments

Generate documents

Select '**Generate documents**'.

Declarations and documents

Select the method with which your client wishes to sign their documents.

Read through the declarations and tick to confirm completion.

Once you're happy, select **'Submit'** to submit the amendment to ongoing adviser charges.



If wet signature is selected, download and share the documents with your client that need to be signed. Once signed please send to us via secure message.



After clicking 'Submit', you can access documents that require signing, and any supporting documents, from the document library. Then arrange for your client to sign and return.

Documents

How do you wish for your client to sign?

Digital signature Wet signature

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.

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

- Adviser Charges Confirmation (398344)

Supporting documents to be sent to the client

- GIA Illustration (398342)
- Ex-Ante C&C Disclosure (398343)

Declarations

Disclosure

- I have appropriate consent from my client(s) to give this instruction on their behalf.
- I understand this charge won't be confirmed and/or paid until my client(s) consent is provided (where required by Nucleus).
- Confirm all

2. Confirmation

Cancel

Submit

Key message

If there's already a request to edit the OAC payment on this account which has not yet been authorised by the client, a new request cannot be made until the client authorises the previous payment request or you inform us that the payment request is to be cancelled.


The edit ongoing adviser charges has been submitted.

Select the '**Client dashboard**' button to return to your client's homepage.



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.

The screenshot shows a confirmation page titled 'Confirmation' under the heading 'Edit ongoing adviser charges'. In the top right corner, the client's name 'Simon Green' is displayed, along with 'Client ID: 2731', 'Product reference: NJ1002533-001', and 'Product: Nucleus GIA'. The main content area features a green checkmark icon and the text 'Instruction complete' followed by 'Edit ongoing adviser charge submitted for Mr Simon Green' and 'Nucleus GIA: NJ1002533-001'. Below this is a light blue information box with a clock icon and the text: 'You'll be able to view your changes once your request has been fully processed and any required paperwork completed and signed.' At the bottom of the page is a purple button labeled 'Client 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 Tynetalk service on 18001 03455 212 414.

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