For customers

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

Our new platform

nucleus platform

# Instruction to trade form

## ISA, GIA and Offshore Bond only

Please complete this form in BLOCK CAPITALS and return it by:

- **post** to Nucleus, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB, or
- **secure message** via your online account with us.

If you need any help, please call your Customer Support Team or our general enquiry number 03455 212 414.

## Using this form

This form should be used to:

- Buy new assets or top up existing asset holdings
- Sell assets
- Switch assets (with the same investment provider)
- Set up or amend regular asset trading activity.

**Please note this form is not used for trading funds on the Nucleus platform or for exchange traded investments via our integrated stockbroker.**

For further information on the assets permitted in your product, please speak to your adviser, if you have one and refer to the product's **Permitted Investments List**, which is available on our website literature.nucleusfinancial.com or on request.

**Please read the following information and ensure all sections of this form are completed. If you don't fully complete each section, your trade may be delayed.**

## Supporting documents

Alongside this form, please send us the appropriate investment application form which can be obtained from the investment provider. On that document, you should complete the details of the chosen assets, the amount to be invested, and any adviser charges information. As the investment will be made in our name, we will complete the rest of the investment application form and forward it with this instruction.

Some providers may also require their own documents to be completed for top-ups, sales and switches. Please check with the provider prior to sending us your instruction.

For all assets involved in this instruction, you should read the current version of the:

- **Key Investor Information Document** (KIID) or **Key Information Document** (KID) for UCITS funds (Undertakings for Collective Investment Transferable Securities), or
- **Simplified Prospectus** for other funds, where available.

These documents are available from the investment provider directly.

## Transmission

A copy of our **Order Execution Policy** is available on our website. This sets out our policy on receiving and transmitting trading instructions.

## Aggregated costs and charges

It's a regulatory requirement that you are provided with the aggregated costs and charges of making this investment before proceeding. This includes the investment provider's charges, our charges for making the investment, and any adviser charges. You will be asked to confirm this later in this document.

Your adviser should obtain and provide this aggregated information as part of their service to you. If you do not have an adviser, you can call us with details of the charges you obtain from the investment provider and we will put these, along with our charges, into our calculator and provide this disclosure to you.



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## Target market

Before deciding to invest, you and your adviser should consider the investment provider's target market for your chosen asset and whether your requirements align with it. This information can be obtained from the provider.

We won't assess whether you meet the investment provider's target market and therefore whether the asset is appropriate for your needs.

## Complex products

Some of the assets you are trading could be 'complex products'. Under regulations, there is no single definition of complex products, though these can typically be investments involving:

- any potential customer liability that exceeds the cost of the investment
- the right for the investment provider to materially change the nature or risk of the investment or payout value
- derivatives or a structure which makes it difficult for the customer to understand
- disproportionate exit charges that could have the effect of making the investment illiquid, or where the opportunity to sell is infrequent.

You can only invest in complex products if you have received regulated financial advice in respect of the proposed asset and the asset type is included in our Permitted Investments List. If you are unsure if your chosen asset is a complex product, please speak directly to the investment provider.

## Data protection

You can access full details on how we process your personal data in our **Privacy Notice**, which is available on our website nucleusfinancial.com.

If you have any questions about data protection, please contact us using the details in that document.

## Section 1 - Personal details

Title

First name(s)

Surname

Product number

Product type (ISA, GIA or Offshore Bond)

## Section 1a - Financial adviser details

Company

Contact name

Firm's FCA authorisation number

Email

Telephone number

## Section 1b - Investment details

Do you wish to use this form to (more than one option may be ticked):

- ☐ Buy new assets
- ☐ Top up existing asset holdings
- ☐ Sell assets
- ☐ Switch assets with the same investment provider
- ☐ Set up or amend regular trades
- ☐ Cancel regular trades

## Section 2 - Investment provider instruction

**Please complete a separate copy of this page for each provider, ensuring you complete every applicable section each time.**

Investment provider name (mandatory)

Investment provider policy/account numbers (mandatory)

Investment provider address (including postcode)

Sell all holdings with this provider? Yes No

**Nucleus hereby instructs you (the investment provider named above) to undertake the following transactions:**

| | | | | | | | Only complete for regular trades | | |
|---|---|---|---|---|---|---|---|---|---|
| Buy, Top-up, Sell, Switch from, Switch to or Cancel | Fund name | Fund code (ISIN or Sedol) | Unit/share type (Acc or Inc) | Income reinvested? Y/N [1] | Gross cash amount (£) **OR** | Percentage of fund (%) | Amount of regular sale/buy (£) | Regular trade frequency [2] | Effective date (DD/MM/YYYY) [3] |
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[1] If not specified, income will be paid or reinvested as per the investment provider's default for that asset.
[2] Please choose from monthly, quarterly, half-yearly or annually.
[3] For regular sales placed to fund your income withdrawals, please select a date well in advance of your requested income payment date.

## For advisers

**For sales only:**

If an investment provider sale charge is applicable, please proceed with the sale without advising Nucleus of the level of charge.

Yes ☐ No ☐

If **No**, please advise Nucleus of the amount of the charge before making the sale.

If there is an investment provider charge levied for electronic transfer of funds to Nucleus, please proceed with the instruction, deducting the charge from the sale proceeds.

Yes ☐ No ☐

If **No**, please send proceeds by Faster Payments or cheque, whichever method carries no charge.

Additional notes

## Section 3 - Customer declaration

I confirm the instructions set out in Sections 1 and 2.

I accept that it is my responsibility to provide Nucleus with the correct supporting documentation from the fund provider, if required.

I accept that Nucleus will rely on the information provided in Section 2 and will forward this section on to the investment provider without amendment.

I confirm that I have read and agreed to the terms and conditions relating to each investment being made, as supplied by the investment provider.

I accept that by making this investment, Nucleus is not confirming the suitability of the investment for my individual circumstances.

If I am investing in a UCITS fund, I certify that I have read and kept an electronic or printed copy of the current version of the KIID or KID (as appropriate).

I confirm that I am not a US Person and I am eligible, under the investment provider's terms, to invest in the chosen assets.

I have obtained, or my adviser has provided me with, an aggregated summary of all of the costs and charges involved in placing these trades.

Yes ☐ No ☐

If **No**, please contact your adviser or us before proceeding.

I have received financial advice from my appointed adviser before making the decision to instruct this trade.

Yes ☐ No ☐

**If No, please also read and confirm the following:**

Nucleus recommends that all customers receive regulated financial advice before placing any trades. If you do not have an adviser who is advising you in relation to this trade, you must sign the following declaration to confirm you accept the risks in proceeding.

I confirm and accept that where no adviser is appointed:

- it is my responsibility to ensure I have read the correct documentation associated with the assets I am trading, including the investment provider's terms and conditions.
- the asset I am trading in aligns with my attitude to risk, my investment goals, my liquidity needs and my capacity for loss.
- I have considered the assets' target market(s) as provided by the investment provider and assessed whether I fit in this prior to making the decision to invest. I acknowledge that Nucleus will not make any assessment of this.
- I have not received financial advice in relation to this trade and I am proceeding at my own risk.

Customer signature

Print name

Date (DD/MM/YYYY)

## Section 3a - Adviser declaration
(if instructing on behalf of their client)

I confirm the instructions set out in Sections 1 and 2.

I accept that it is my responsibility to provide Nucleus with the correct supporting documentation from the investment provider, if required.

I accept that Nucleus will rely on the information provided in Section 2 and will forward this section on to the investment provider without amendment.

I confirm that I have provided my client with the terms and conditions relating to each investment being made, as supplied by the investment provider.

I confirm that if my client is investing in a UCITS fund, I have provided them with a copy of the KIID or KID, as appropriate (and any other documentation required under the UCITS IV Directive).

I confirm that my client is not a US Person and confirm that my client is eligible, under the investment provider's terms, to invest in the chosen assets.

I confirm that I have provided financial advice to my client in respect of this transaction.

I have provided my client with an aggregated summary of all of the costs and charges involved in placing these trades.

I confirm I have considered the assets' target market(s) as provided by the investment provider(s) and whether my client fits this, as part of the advice process.

**Adviser (on behalf of the client)**

Signature

Print name

Date (DD/MM/YYYY)

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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