Change of registered contact – Junior Isa account only

Nucleus client relations, PO BOX 26968 Glasgow G2 9DY

This form should be signed by the new registered contact, and where appropriate the existing registered contact. Once fully completed please post to Nucleus client relations at the address above.

Please note that this document forms part of your application for the Nucleus wrap together with the terms and conditions of the Nucleus wrap, and application summary (if applicable), all of which constitutes a legally binding contract between you and Nucleus Financial Services Limited. Please also note that throughout this declaration Nucleus Financial Services Limited will be referred to as 'Nucleus'. The defined terms in this document are references to the defined terms in section two of the terms and conditions of the Nucleus wrap.

Please read the declarations below and tick the boxes to indicate the items relevant to your application. Please sign and date this declaration at the end of this form. If the form is signed but not dated by any party, then we'll use the date we receive this form as the date of signature.

General declaration

- I authorise Nucleus to accept investment instructions from my adviser and confirm that this authorisation will remain in place until I advise Nucleus in writing to the contrary.
- I confirm acceptance of the Nucleus fees as set out in the terms and conditions of the Nucleus wrap.
- I accept that Nucleus will normally correspond with my adviser.
- I agree to be bound by the terms and conditions of the Nucleus wrap, the key features of the wrap and the key features of the Nucleus Junior Isa.
- I am not a US national.
- I am not resident in the United States of America and I am not subject to US tax reporting. I will notify Nucleus immediately in writing in the event that I become resident in the United States of America or subject to US tax reporting. I accept that in such circumstances, Nucleus reserves the right to terminate its services under this contract.
- I am not a politically exposed person as defined in the The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 as amended from time to time.
- I understand that Nucleus provides its services in conjunction with my adviser and Nucleus is not permitted to provide investment advice or any advice on the merits of using its services or any assets available through these services. I accept that Nucleus does not recommend or endorse any assets available through its services.
- I understand that Nucleus will from time to time send me documentation relating to transactions I have entered into and valuations of my investments. Nucleus will send me these documents in a durable medium which may include electronic communications if appropriate.
- I have read and accept the terms and conditions for the Nucleus wrap.

Client categorisation (please tick one box)

I can confirm that I wish to be categorised as a:

Retail client ☐ Professional client ☐

Retail clients receive the highest level of FCA protection including access to the Financial Ombudsman Service and Financial Services Compensation Scheme. It is therefore important to remember that if you elect another option you may be entitled to lesser compensation and regulatory protection.

Tax residency

- I confirm that I have provided my adviser with confirmation of my tax residency status and which country / countries I am tax resident in.
- I understand that Nucleus may be required to disclose this information to relevant third parties.
- I will inform Nucleus promptly of any change to my tax residency status.

Change of registered contact – Junior Isa account only (continued)

Data protection

I understand that the information in my application and any supplementary information provided by me and / or my adviser, will be used by Nucleus to:

- set up and administer the Nucleus wrap and associated accounts
- use and disclose such information or data for the purposes of providing the services and exchanging information with another contracting party (for any such party's legitimate purposes or use)
- send me information relating to my account(s)

I can confirm that I have read and understood the following sections detailed above: General declaration, client categorisation, tax residency and data protection

New registered contact details

Name of registered contact

Relationship to child

Child's full name

The child named above will be the beneficial owner of the account investments.

I declare that:

- I am 16 years of age or over.
- I am the child / I have parental responsibility for the child (delete which does not apply).
- I will be the registered contact for the Nucleus Junior Isa account.
- I agree to the change of registered contact details for above named child with immediate effect.

I authorise Nucleus Financial Services Limited

- to hold the child's subscriptions, Junior Isa investments, interest, dividends and any other rights or proceeds in respect of those investments and cash.
- to make on the child's behalf any claims to relief from tax in respect of Junior Isa investments.
- I can confirm the existing annual adviser fee should remain in force.

I agree to the Nucleus Junior Isa account terms and conditions and confirm that to the best of my belief, the information in this form is true

Authorisation

Signature

Print name

Date

Existing registered contact details

Name of registered contact

Nucleus account number

N

Please refer to notes below regarding signature requirements.

Signature

Print name

Date

Change of registered contact – Junior Isa account only (continued)

Notes

The consent of the existing registered contact is not needed where the applicant for registered contact status is the account holder who is 16 years or older, or in the following cases:

- on the death or incapacity of the existing registered contact
- where the existing registered contact lacks capacity
- where the existing registered contact cannot be contacted
- where a court order brings to an end the existing registered contact being a person with parental responsibility for the child
- where a court has appointed a guardian or a special guardian of the child who holds the Junior Isa
- where a court orders that the person who is the existing registered contact cease to be so, or
- where the new registered contact has adopted the child under an adoption order

In the event of the death, mental incapacity or court ruling, please ensure you provide us with an original or a true certified copy of the appropriate legal document e.g. Death Certificate or court order.

For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 0131 226 9535, or via the Relay UK service on 18001 0131 226 9535.

0131 226 9535 client.relations@nucleusfinancial.com nucleusfinancial.com

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