For adviser use only

When is an application summary required?

Also known as top-up forms

- When you key a client application online there are a number of documents that must be submitted to Nucleus client relations to complete the application. The documentation requirements differ depending on the type of client and account you are setting up.
- One document that can cause confusion is the application summary, as it's not required in all cases. Non-receipt when it is required may cause a delay in applying the client's investments.
- When you have completed your application, click submit, and print the application summary to include in your submission to Nucleus (where required) as outlined in the table below.

Notes

- Additional manual applications are required for our Onshore Bond and Offshore Bond. Please refer to the account specific section in the platform library for copies of these forms.
- Please remember to submit the relevant Declaration if this is a new client or a new wrapper for an existing client.
- Please also remember to include the relevant fee authority if you have agreed a fee with the client.
- If you've any questions about the application summary, please contact your Client Relations Manager via Jira messaging.

Application type	Is a copy of the online summary required	Comments
• New clients • Cash and in specie transfers for new and existing clients • Inter account transfers between different wrappers and/or clients • Regular contribution applications for new and existing clients	Yes	Where an inter account transfer is being made between different clients account (i.e. Mr Bloggs' General to Mrs Bloggs' Isa) we will also require Mr Bloggs' authority to transfer the cash/assets. This can be via form 0212 Inter account transfer – client authority or a letter from Mr Bloggs. The payment method would be keyed as 'direct credit'.
Lump sum to top up an existing account	No	Where payment is received via BACS or cheque this is the only prompt we need to apply. Note: BACS payments should be referenced with the client's account number to ensure we can match the payment to the application. Please remember to key the application to your client's account before arranging the BACS payment. If an initial fee is to be deducted, please send the Jira with a signed fee authority form.
New lump sum applications	No	On receipt of a fully completed declaration and the payment we can apply monies to the commitment submitted on the platform.
Inter account transfers between same wrapper types for the client i.e. General to General, Isa to Isa for Mrs Bloggs	No	This is an automated process. Note - this is for the same client and not from one client to another, i.e. husband to wife.
Bed & Isa	No	This is an automated process for existing active Isa accounts. If it's a new ISA, to activate a Bed & ISA transaction, we will need the application summary, together with the decalration. This applies where an existing client holds a General account. Note – an Isa declaration is only required if your client was previously living overseas and has now returned to the UK and wishes to commence contributions again.