Application checklist

This note has been prepared to help adviser firms ensure that all application packs received by Nucleus are submitted with all of the necessary documentation.

If you've any questions please contact your client relations manager who'll be delighted to help.

Personal details

The following details are required in order to complete an online application:

- Name
- Address – you may use an alternative postal address
- Contact details – you must submit at least one telephone number
- Sex
- Date of birth
- Nationalities
- Tax residencies
- Country of residence
- National insurance number
- Bank account details – you'll be unable to complete the application process without a valid UK bank account
- Email address - to provide client access to Nucleus Go

Important note

Please note that Offshore Bond applications have additional forms to satisfy RL360 application requirements. These can be found in the accounts specific section of the platform library. RL360 will not accept cheques, funds must be sent by direct credit.

Payments to Nucleus

Remember to key the client's application before sending the payment to us. This should include all payments (lump sum and regular), together with any adviser fees associated with each wrapper.

Please note that start dates for pension income or direct debits should be at least 10 business days after you expect the completed application pack to be received by us.

If paying by cheque (not permitted for the Offshore Bond), your client's account number (starting N) should be written on the back. If a direct credit is being sent to us by the client, the account number should be included in the payment reference.(Please note the cheque clearing time is 4 days before funds can be invested)

Bacs payments can take up to three business days to clear to the Nucleus bank account.

Chaps or faster payments can clear on the same day.

The payment details for each wrapper are as follows:

Account	Payee	Sort code	Account no
General	Nucleus Financial Services Ltd	16-04-00	31265802
General (gross)	Nucleus Financial Services Ltd	16-04-00	31306886
Isa	Nucleus Financial Services Ltd	16-04-00	31266744
Junior Isa	Nucleus Financial Services Ltd	16-04-00	31266744
Pension	Nucleus Trustee Company Limited	16-04-00	31265985
Onshore Bond	Nucleus Financial Services Ltd	16-04-00	31332151
Offshore Bond	RL360 Insurance Company Ltd*	18-50-08	13163709

* It's important to wait for RL360's confirmation before sending any investment funds. This ensures that all paperwork is thoroughly reviewed and everything is in order. Please do not send monies in advance of this.

Application checklist continued

Transfers and re-registrations

You'll need the following data to complete the relevant form for each Isa, Junior Isa, pension transfer or re-registration/ in-specie transfer:

- Full name and address of the ceding company
- Plan or policy number associated with the transfer or re-registration
- Details of holdings to be transferred or re-registered and an estimate of value (based on the most recent valuation)

You then need to complete a form in respect of each transfer or re-registration as follows:

- Re-registration form
- Isa transfer form (0020)
- Junior Isa transfer form (0315)
- For pension transfers, you should complete the ceding company's discharge forms. In the event that these forms are not provided by the ceding company, please complete the pension transfer form (0021)

As part of the online submission, where an in-specie transfer is keyed the platform will pre-populate the re-registration form with all of the relevant details required for the ceding company. This can be printed from the online submission before it's fully submitted.

Alternatively, you can arrange for the client to complete and sign the Re-registration authority (full transfers only) (0784) before you submit the instruciton only.

For more detail on transfers and re-registrations, please see the transfer application guidance (0341) in the servicing guidance section of the library.

Additional forms – General account only

You may need to submit stock transfer or crest forms for individual re-registrations as follows:

Where assets are currently held directly (i.e. not on another platform or in a nominee name) you'll need to submit a stock transfer form signed by the client. You'll need one form for every line of stock. Please contact us on 0131 226 9535 if you're unsure how to complete this form.

If a client holds share certificates, you'll also need to submit a crest form for each certificate along with the original certificate. If assets are being transferred from a stockbroker to the Nucleus stockbroker, the stockbroker's 'broker transfer form' should be completed.

Additional forms – Offshore Bond account only

Please ensure you complete the following sections before submitting the signed Offshore Bond application form (0235 or 0918):

- Compulsory – applicant details, source of funds, source of wealth, death benefit election and lives assured
- As required – trust and trustee details, power of attorney details As required – regular withdrawals
- Annual income band is only required to be completed if the trustee/ trustees is/are funding the investment

Additional forms – Onshore Bond account only

Please complete the following sections before you submit the signed supplementary application form (0156):

- Compulsory – applicant details, source of funds, source of investment, death benefit election and lives assured
- As required – trust and trustee details, power of attorney details
- Annual income band is only required to be completed if the trustee/ trustees is/are funding the investment

Application checklist continued

Completing the application pack

A completed application pack should include the following:

- Application summary – available once application keyed online
- Declaration – put a tick in the box for each required wrapper and sign on the last page
- Anti-money laundering (AML) form (0016 or 0017) – manual form required for any person/party where AML has not been completed online e.g. power of attorney, employer or another third party.
- Transfer, discharge and re-registration forms as above. It's always useful to provide a recent valuation from the ceding scheme to support any re-registration requests
- Stock transfer form (0481) or crest form (0480)
- Trust deed, where applicable
- Trustee Registration Service (TRS) proof of registration document, where applicable
- Cheques or confirmation of chaps or direct credit payments. Where your client is funding two or more different accounts, please ensure separate cheques/payments are sent for each wrapper. We can't accept a cheque for the Offshore Bond
- Additional documents such as direct debit instructions (0013, 0014 and 0015) or forms in respect of pension drawdown (0028), RL360 Offshore Bond application and all required AML and source of fund paperwork, Onshore Bond supplementary application form (0156) as appropriate

Mail Please send the completed application pack to Nucleus client relations, PO Box 26968, Glasgow, G2 9DY.

What happens next?

Once the completed application pack is received by us, it will be checked and providing we've all of the information we require and everything is in order, we'll 'release' the details you've already input to initialise your client's Nucleus wrap. At the same time Nucleus will bank any cheques, associate any chaps or direct credit payments with the application and forward all transfer and re-registration documentation to the appropriate companies.

After this we'll send your client a welcome pack that includes a covering letter together with the post-sales illustrations and cancellation notices associated with each wrap account the client has applied for. Please note the items that constitute the welcome pack will be available in the correspondence section of the Nucleus wrap.

You should now be able to view your client's wrap account online although you should note that where the first payment has not been received for a tax wrapper (perhaps as we are still waiting for a transfer payment or assets to be re-registered in our name) that wrapper would appear as 'pending'. Similarly, the status of any cash payments will change from 'uncleared' to 'available' in due course.

If you want to initiate any activity that's not available online, you should browse the platform library to find the appropriate form(s). You should note that applications for additional wrappers and top up investments should be accompanied by an appropriate declaration form.

As ever, if you get a bit stuck and find yourself needing some assistance, please contact your regional client relations manager who'll be delighted to help.

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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