



nucleus^o platform

Internal product switch form

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

Please note that this form is not for use with Nucleus Wrap products, and is for our new platform only.

Please use this form if you have an existing Nucleus platform product(s) and you wish to change it to another Nucleus product range.

You'll need to change all of the products you hold within the same group, and in some cases, you may not be able to change back. Any funds held in different product types will be moved to the same product type in the new group (i.e. SIPP to SIPP, ISA to ISA, GIA to GIA). Please note that switching is not an option if you hold a Nucleus Modular Offshore Bond. The lists below show your options.

I wish to switch from:

Nucleus Modular iPlan (Nucleus Modular iSIPP, ISA, and GIA only)

Nucleus Flexi SIPP

Life Office SIPP

Nucleus Platform (Nucleus SIPP, ISA, GIA and Offshore Bond)

I wish to switch to:

Nucleus Platform (Nucleus SIPP, ISA, GIA and Offshore Bond)

Nucleus Flexi SIPP (available if you hold a SIPP only)

You should be aware that even though you are switching between Nucleus products on the same platform, they will have different features and options, and therefore different key literature, including charges and terms and conditions. There may also be assets you hold that cannot be switched into another product, such as commercial property.



You should familiarise yourself with your chosen product and discuss your intentions with your adviser before proceeding.

More information on our products is available on our website at nucleusfinancial.com, from your adviser, or from us on request.

Please note that any Direct Debit mandates currently in place, and any SIPP beneficiaries you have nominated as part of an expression of wishes, will remain unchanged during the switch process.

Evidence of your identity

As part of this application to switch products, we'll carry out identity checks to re-verify your identity. We'll do this by searching at credit reference agencies who will supply us with information, including information from the electoral register, for the purposes of verifying your identity.

Scoring methods may be used to verify your identity. If this doesn't provide us with sufficient verification, we may need to contact you or your adviser to obtain documentary evidence of your identity, such as a copy of your passport and a utility bill.

Section 1 - Personal details

Please confirm your details so that we can ensure our records remain up to date.

Title

First name(s)

Surname

Customer reference number

Date of birth (DD/MM/YYYY)

Permanent residential address

Postcode

Telephone/mobile

Email

Nationality

Do you have dual nationality?

Yes No

If **Yes**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes No

If **Yes**, please contact us to discuss.

A US Person is a person who is a citizen or national of the United States of America (US) or resident in the US for US tax purposes.

Section 2 - Financial adviser details (if applicable)

Please complete this section if you have appointed a Financial Conduct Authority (FCA) regulated financial adviser who is going to provide advice to you in respect of your Nucleus product(s).

My adviser currently appointed to my plan will remain, or

I wish to appoint the following adviser:

Company name

Network name (if applicable)

Contact name

FCA firm reference number

Address

Postcode

Telephone

Email

Your adviser will need to sign up to our Financial Adviser Terms of Business. This is available from our website nucleusfinancial.com.

Should the adviser charges being paid from your current products continue in line the agreement in place?

Yes No

If **No**, we will cancel the agreement in place. Your adviser can use the platform to set up and manage the charges you pay to them, with your consent.

Section 3 - Asset details

Please confirm the following:

All my investments are permitted in the new product

OR

I have submitted instructions to sell/switch the investments that are not permitted in the new product(s) and understand the product switch can only be completed after these have settled. I understand this may delay the set up of the product(s) I'm switching into.

For full details of the range of investments available for your product, please refer to your copy of the product's Permitted Investments List, which is available from literature.nucleusfinancial.com.

Section 4 - My declaration

Before signing this declaration, it is important that you carefully read the appropriate Platform Services Terms and Conditions; Charges Schedule; Permitted Investments Lists; and the Key Features Documents of the Nucleus products you are switching into.

These documents specify important information about how your Nucleus products work, the benefits and risks, and the charges you will pay. These documents can be found on the literature section of our website nucleusfinancial.com.

There is a lot of information for you to consider so, if you are in any doubt about whether switching products is right for you, we strongly recommend that you speak to your adviser.

If you would like to speak to an adviser but do not have one, please visit moneyhelper.org.uk or call them on 0800 138 7777 to obtain a list of financial advisers in your local area.

If you have any queries for us, please direct them to Nucleus, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB, or call us on 03455 212 414.

I hereby:

- instruct Nucleus to: (1) change my existing Nucleus products to the group of products requested above; and (2) fulfill my instructions above.
- acknowledge that my existing Platform Services Terms and Conditions shall be replaced by the Terms and Conditions applicable to the product group I have selected.

I hereby declare as follows:

- a. I agree at all times to be bound by, and comply with, the Trust Deed and Rules of the James Hay Personal Pension Plan, as amended from time to time; the Platform Services Terms and Conditions; the products' Charges Schedule (s); and the Permitted Investments Lists applicable to the relevant product(s) in the product group I have selected.
- b. To the best of my knowledge and belief, the details given on this form are correct and complete.
- c. I undertake to tell you in writing within 30 days if:
 - there is any change to my name, permanent residential address or residency status;
 - I am made bankrupt; or
 - there are any changes to the information contained in this form, as soon as I am aware that what is stated is no longer true and complete.

- d. I agree that the total contributions to any registered pension schemes in respect of which I am entitled to tax relief will not exceed the higher of:
- £3,600; or
 - my relevant UK earnings for that tax year.
- e. If I am no longer entitled to tax relief on my contributions I undertake to tell you in writing no later than:
- 5 April in the year of assessment in which this occurs; or
 - within 30 days of this change, if earlier.
- f. I accept that the value of my SIPP may only be applied to provide benefits at the time I take retirement benefits or upon my death, and that Nucleus will provide the appropriate benefits as required.
- g. If I have appointed a financial adviser, I give my authority for you to accept instructions from them and to pay adviser charges to them as agreed with me.
- h. If I have indicated that I wish to use the services of a stockbroker/investment manager, I accept and agree that:
- I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of my Nucleus products. Where my account is operated on an execution only or advisory basis then I accept that it is the joint responsibility of myself and my adviser to ensure any investments purchased comply with the Nucleus product's Permitted Investments List.
 - I agree that Nucleus Financial Services Limited and James Hay Pension Trustees Limited will not be held responsible for any claims that arise from these decisions, and I will cover any costs or losses they may face as a result.
 - Nucleus has not carried out, and shall not in future carry out, any review of the nominated stockbroker's/ investment manager's financial status or their investment and/or risk strategies, nor will Nucleus monitor their ongoing performance. I am, or my adviser is on my behalf, responsible for checking these matters and ensuring that the stockbroker/ investment manager is suitable for my investment objectives.
 - My stockbroker/investment manager will be bound by the stockbroker/investment manager terms of business agreed with Nucleus. I will not take any action, intentionally or otherwise, or instruct my stockbroker/investment manager to take actions that result in a breach of this agreement.
- I have seen and I accept the terms and conditions and charges schedule of the stockbroker/investment manager.
- i. If I am investing in a UCITS fund (Undertakings for Collective Investment in Transferable Securities), I certify that before providing investment instructions to you, I will have either:
- printed a copy of the current version of the Key Investor Information Document (KIID) or Key Information Document (KID), as appropriate; or
 - saved an electronic copy of the current version of the KIID or KID.
- j. I accept that Nucleus will not assess me against an investment manufacturer's target market when I make any investments. If I am receiving financial advice on the investment, my adviser will make such an assessment. If I am not receiving financial advice, I am responsible for considering the investment manufacturer's target market before making my investment decision.
- k. I accept full responsibility in respect of any claims, losses and expenses that you may incur as a result of any incorrect information provided by me in this transfer form or of any failure on my part to comply with any aspect of this form.

Data protection

You can access full details on what to expect when we process your personal data, including sensitive personal data, in our Privacy Notice, available on our website nucleusfinancial.com/privacy-notice. If you have any questions about data protection, please contact us.

Nucleus
Suite 202 Warner House
123 Castle Street
Salisbury
SP1 3TB

dataprotection@nucleus.co.uk
03455 212 414

This form must be completed by you or an FCA authorised financial adviser who holds the appropriate permissions. If completed by an adviser, you must still check that the completed information is correct, as by signing below you are confirming this. It is an offence to make false statements and the penalties are severe and could lead to prosecution.


Applicant's name

Date (DD/MM/YYYY)

By signing this switch form below, I confirm:

- Where I have received advice in relation to transferring to this product, that my adviser has provided me with the following documents: the Platform Services Terms and Conditions; the Charges Schedule; the Permitted Investments Lists; and the Key Features of the Nucleus products I am switching into.
- Where I have not received financial advice in relation to switching to this product, that I have accessed and read the following documents: the Platform Services Terms and Conditions; the Charges Schedule; the Permitted Investments Lists; and the Key Features of the Nucleus products I am switching into.
- I agree to be bound by, and to at all times comply with the Platform Services Terms and Conditions; the Charges Schedules; the Permitted Investments Lists of the products I am switching into and the above Declaration.

Applicant's signature

 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 Typetalk service on 18001 03455 212 414.

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