

For advisers

Our new  
platform

nucleus<sup>o</sup>  
platform

How to request  
an ad hoc  
adviser charge

🕒 2 minute read



# How to request an ad hoc adviser charge

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## How to use this document



Important information will look like this.

Key messages

Key messages will look like this.



Useful info will look like this.



We recommend using the zoom function to view the details on the platform screens in this guide.

## How to request an ad hoc adviser charge

To request an ad hoc adviser charge, you first need to find your client. You can refer to our guide on our website.

From the client's home page, within the **'Accounts'** widget, click on the name of the product you're adding the **ad hoc charge** to.

The screenshot displays a client overview page for 'Mr James Example' with a total value of £382,144.65 as of 25 Jun 2025. The client's details include:

- Client number: 2149
- Age: 44
- Date of birth: 1 July 1980
- Phone: +44 7868507982
- Email: James.Example@Test.co.uk
- Firm: ABR Test Network
- Adviser: James Place
- Address: Dunns House, St. Pauls Road, SP2 7BF
- Residence: UK
- Primary tax residency: UK

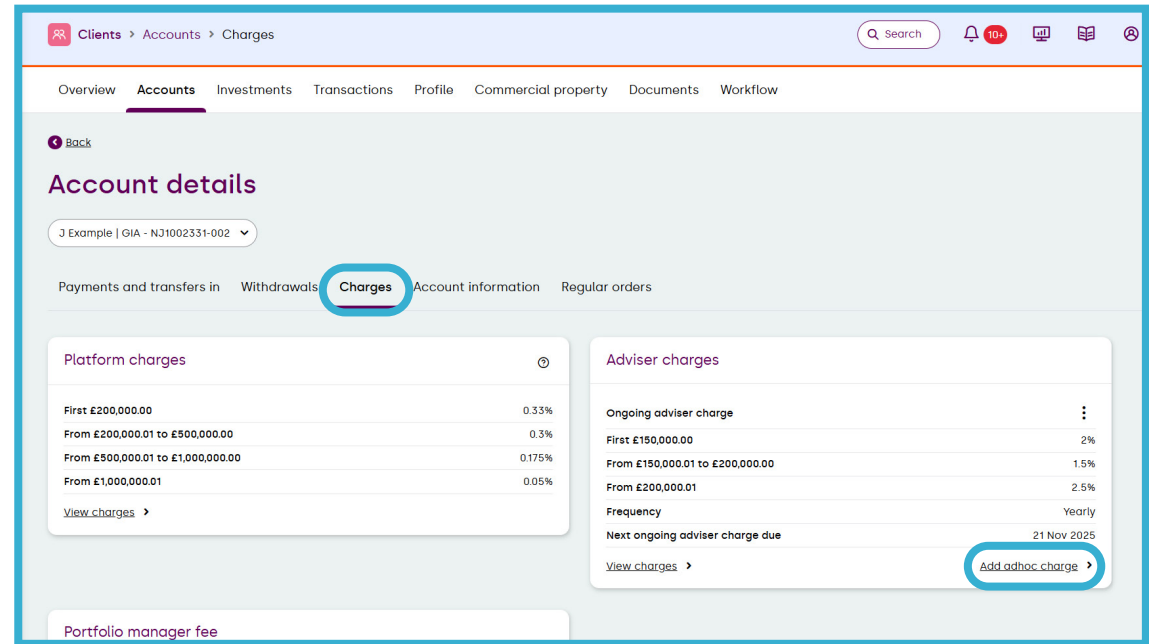
The 'Accounts' widget is highlighted with a red box and shows the following data:

Account	Value
Accounts owned	£382,144.65
J Example	£74,744.48
Nucleus Flexi SIPP	£74,744.48

The 'Valuation' widget shows a line chart with values ranging from £380.8K to £382.2K. The 'Regular payments and withdrawals' widget shows a dropdown menu for 'J Example (NJ1002494)' and a table with columns for Account, Type / Regular amount, and Date.

From the account details page, select **'Charges'**.

In the adviser charges box, select **'Add ad hoc charge'**.



## Adding an ad hoc charge

### Key message

The adviser charge requested will be paid from available cash in the client's product account.

If there's insufficient cash available, we'll automatically sell selected tradeable investments proportionately to raise the cash needed, in line with our published approach.

It's important to ensure there is sufficient available cash and investments to make this payment.

Enter the '**ad hoc adviser charge amount**' and the '**annual consent amount**'.

Select '**Generate documents**'.

The screenshot displays a web interface for adding an ad hoc charge. It is divided into several sections:

- Important information:** A warning box states: "After receiving client consent, if the account does not have sufficient cash to settle the requested charge, this will trigger an automatic sale of assets at the next applicable trading point. In the unlikely event this doesn't result in the required cash raised to pay the fee then a manual sale may be required."
- Available value:** Shows "Total estimated value available" as £937.84. Below it, a table indicates the breakdown: "Which is made up of:" with "Available cash" at £937.84 and "Available estimated assets" at £0.00.
- Add charge:** Contains the "Adviser ad hoc charge" section with "Amount" set to £100 and "Annual consent amount" set to £500. A note specifies "Charge amount should be gross of VAT". A "Generate documents" button is located at the bottom of this section.
- Right-hand sidebar:** Titled "Add ad hoc charge", it lists two steps: "1. Add ad hoc charge" and "2. Confirmation". At the bottom, there are "Cancel" and "Submit" buttons.

### Key message

The annual consent amount agreed with the client allows you to collect ad hoc charges up to this amount in a 12-month period. The system will keep a running balance.

If you still have any allowance remaining, you'll be able to submit future ad hoc requests without needing further client consent.

### Key message

No individual ad hoc payment should exceed the £10,000 annual limit set for an ad-hoc adviser charge.

**Important information**

After receiving client consent, if the account does not have sufficient cash to settle the requested charge, this will trigger an automatic sale of assets at the next applicable trading point. In the unlikely event this doesn't result in the required cash raised to pay the fee then a manual sale may be required.

**Available value**

Total estimated value available  
£937.84

Which is made up of:

Available cash	Available estimated assets
£937.84	£0.00

**Add charge**

**Adviser ad hoc charge**

Amount ⓘ  
Charge amount should be gross of VAT

£ 100

**Annual consent amount**

£ 500

Generate documents

**Add ad hoc charge**

- Add ad hoc charge
- Confirmation

Cancel

Submit

## Declarations and Documents

Select how your client wishes to sign their documents.



If wet signature is selected download and share the documents with your client that need to be signed. Once signed please send to us via secure message.



If an ad hoc adviser charge request exists, which has not yet been authorised by your client, a new request can't be made until the client authorises the previous request, or you inform us that the existing payment is to be cancelled.

The screenshot shows a web form titled 'Add ad hoc charge' with two main sections: 'Documents' and 'Declarations'.  
**Documents section:**  
- Question: 'How do you wish for your client to sign?' with radio buttons for 'Digital signature' and 'Wet signature'.  
- Section: 'Documents available' with a sub-section 'Supporting documents to be sent to the client'.  
- List of documents: 'QIA Illustration (420952)' and 'Ex-Ante C&C Disclosure (420951)', each with a download icon.  
**Declarations section:**  
- Section: 'Disclosure' with two checkboxes: 'I have appropriate consent from my client(s) to give this instruction on their behalf.' and 'I understand this charge won't be confirmed and/or paid until my client(s) consent is provided (where required by Nucleus).'  
- A 'Confirm all' checkbox is highlighted with a blue circle.  
**Form controls:**  
- A 'Cancel' button and a purple 'Submit' button are located at the bottom right of the form area.

Read through and confirm the declarations.

Once you're happy select '**Submit**' to confirm completion.

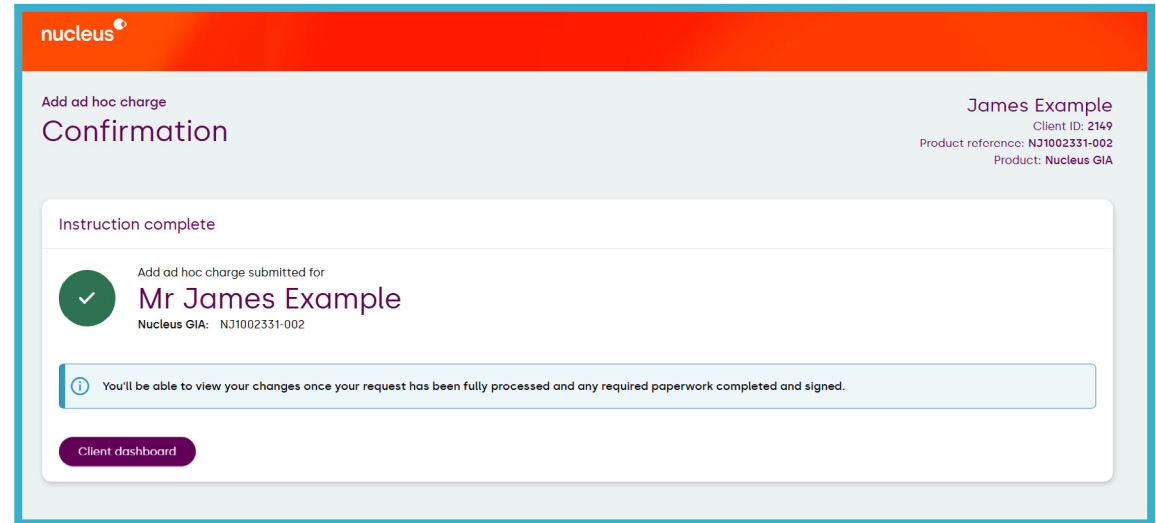
The ad hoc charge has been submitted.


### Key message


Once submitted, the documents requiring a signature can't be amended. If any changes are required, you'll need to restart the process and generate new documents.




You'll be notified when documents are sent to your client. Digital documents are available for e-signature for 60 days. After that, they're deleted and you'll need to resubmit the application or use a wet signature instead.



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**For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 03455 212 414, or via the Tynetalk service on 18001 03455 212 414.**

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