

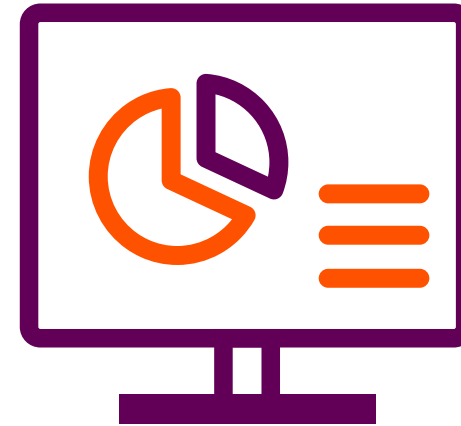
For advisers

Our new
platform

nucleus^o platform

How to instruct an investment switch and redirection

 2 minute read



How to instruct an investment switch and redirection

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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 instruct an investment switch and redirection



This guide is demonstrated using an adviser user with master user role permissions. If you have a different user role permission, some functionality may not be available to you.

To start the investment switch process, you first need to find your client. If you need help finding your client, please refer to our client search guide on our website.

From the client landing page, in the accounts widget, select the vertical ellipses (three dots) on the account you want to instruct the investment switch/redirection.

A list of actions will appear. Select **'Switch'**.



You can save and exit the switch at any stage. To resume, go to the workflow tab in the client's account.

Client Overview for Mr Jack Example (£15,581.50 as at 7 October 2024)

Client details: 1843, Age 34, Date of birth 01-January-1990, Firm ABR Test Network, Address Duns House, St. Pauls Road, SP2 7BF, Phone +44 7985164905, Email jack.example@nucleusfinancial.com, Adviser Mitchell Pursall, Residence UK, Primary tax residency UK.

Accounts owned: £15,581.50

- J Example: £15,581.50
- ISA N31001646-001: £15,581.50

Top investments:

- GBPCash: 85.14%, £13,266.25, +£3.00
- 7IM AAP Adventurous C Acc: 7.74%, £1,206.26, +£6.64
- Windsor Global Emerging: 7.12%, £1,108.99

Valuation chart showing performance from Aug 24 to Sep 24.

Latest documents: Stock & Shares ISA Illustration (07 Oct 24), Transfer form (07 Oct 24), Adviser Charging Confirmation (07 Oct 24), Ev-Ante Costs and Charges Report (04 Oct 24), Stock & Shares ISA Illustration (04 Oct 24), Client Portfolio Valuation (03 Oct 24).

Recent transactions:

Date	Description	Amount
01 Oct	Interest N31001646-001: 14.99 GBP	£14.99
01 Oct	Withholding Tax	£-1.50
27 Sep	Buying GBP 1,200.62 BFB9 GB @ 10000	£1,200.62
25 Sep	Initial Adviser Charge for single payments/cash transfers	£-50.00
25 Sep	One-Off Cheque Deposit 25-Sep-24	£90.00

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The 'Switch' button is highlighted in a blue circle in the 'Accounts' widget.

Investment switch

Confirm if financial advice has been provided to the client.

Select '%' or '£'.

Confirm the allocation amount to sell from the investments you wish to sell.



If you wish to sell 95% or more of the current holding, you'll need to sell the whole investment.

Key message

If you've used the Capital Gains Scenario Tool prior to switching, you can select '**Populate from CGST Session**' to pre-fill the sell order with this data.

Once you're happy with the sell details, select 'Continue'.

nucleus

Switch
Choose investments to sell

Jack Example
Client ID: 1843
Product: N31001644-001

Financial advice

Did you give financial advice to your client in relation to this instruction?
 Yes No

Sell order

% £

Investment choices

Investment name	Available to sell	Estimated value to sell	Allocation	Sell all
7M AAP Adventurous C Acc	£1,206.26	£0.00	0 %	<input type="checkbox"/>
Vanguard (Ireland) Emerging Markets Stock Index GBP Acc	£1,108.99	£554.50	50 %	<input type="checkbox"/>
Estimated total to sell		£554.50		

Populate From CGST Session

Switch

1. Choose investments to sell
2. Choose investments to buy
3. Redirect regular payments
4. Review
5. Confirmation

Save & exit

Cancel

Continue

Confirm if the switched amount will be invested into current or new assets.



Your client can now hold loose assets, multiple managed portfolios, ETIs, and other investments, all within the same account.

Investments will be purchased when funds are available for investment.

Enter the investment name into the search bar and select the investment from the results.

Enter a percentage for each investment choice – ensuring the totals equal 100%.

Once you're happy with the buy details, select **'Continue'**.

The screenshot shows the Nucleus 'Switch' interface. The main heading is 'Choose investments to buy'. The user is 'Jack Example' (Client ID: 4843, Product: N31001444-001). The 'Buy order' section asks 'Do you want to trade in investments already held?' with 'No' selected. The 'Investment choices' table shows one selection: Vanguard LifeStrategy 60% Equity A Acc with a 100% allocation. The 'Switch' sidebar shows a progress list with 'Choose investments to buy' as the current step, and a 'Continue' button at the bottom.

Investment name	Allocation
Vanguard LifeStrategy 60% Equity A Acc	100 %
Total	100%

Redirecting regular payments

If your client has an existing regular payment in set up on the account, you'll have the option to redirect the payment.

Confirm if you'd like to redirect the regular payment to a new investment allocation.

Select the regular payment to redirect.

The existing investment allocation will pre-populate. The percentages can be amended or to remove an investment select the bin icon.

To select a new investment, enter the name into the search bar and select the investment from the results.

Enter a percentage for each investment choice – ensuring the totals equal 100%.

Once you're happy with the regular payment details, select '**Continue**'.

Switch

Redirect regular payments

Jack Example
Client ID: 1843
Product: NJ1001646-001

Redirection

This account has a regular payment in, which includes assets you have selected to switch out of. Do you also want to redirect the investments associated with the regular payment(s) in?

Yes No

Redirection 1

Which payment do you want to redirect?

Payment from	Amount	Investment allocation
<input checked="" type="radio"/> Jack Example 1438	250.00	View

Funds Exchange Traded Managed portfolios Adviser portfolios Other investments

☆ Favourites

[Advanced search](#)

Investment

Investment name	Allocation (%)
<input checked="" type="radio"/> Vanguard Emerging Markets Stock Index Acc -U	<input type="text" value="100"/> % <input type="button" value="🗑️"/>
Cash	<input type="text" value="0"/> %
Total	100%

Switch

1. Choose investments to sell ✓
2. Choose investments to buy ✓
3. **Redirect regular payments**
4. Review
5. Confirmation

Review

Review the switch and redirection details for accuracy. You can use the 'pencil' icon to make any amendments.

Key message

Documents can't be amended once submitted.

If there are any amendments to be made to documentation, you'll need to resubmit the application to generate new documents.

Review

Financial advice

Did you give financial advice to your client in relation to this instruction? Yes

GIA

Investments to sell ✎

Investment	Sell value
7IM AAP Balanced C Acc	£2,227.98
7IM AAP Balanced C Inc	£1,900.13
Estimated total to sell	£4,128.11

Investments to buy ✎

Investment	Allocation
Baillie Gifford China B Inc	100%
Total 📊	100%

Regular Payment Redirection ✎

Regular payments in

Client regular payment

Amount	£800.00
Include tax relief	No
Payment frequency	Monthly
First collection date	22/06/2025
Continue until	Until further notice
Payment method	Direct Debit

Investment	Old allocation	New allocation
7IM AAP Adventurous C Acc	20%	0%
7IM AAP Balanced C Acc	30%	0%
7IM AAP Balanced C Inc	30%	0%
Baillie Gifford American B Acc	-	80%
Cash	20%	20%

Switch

1. Choose investments to sell ✓
2. Choose investments to buy ✓
3. Redirect regular payments ✓
4. **Review**
5. Confirmation

Save and exit

Cancel

Submit

7 |

Please read through the declarations and tick to confirm completion.

Once you're happy with the accuracy of the switch and redirection, select '**Submit**'.

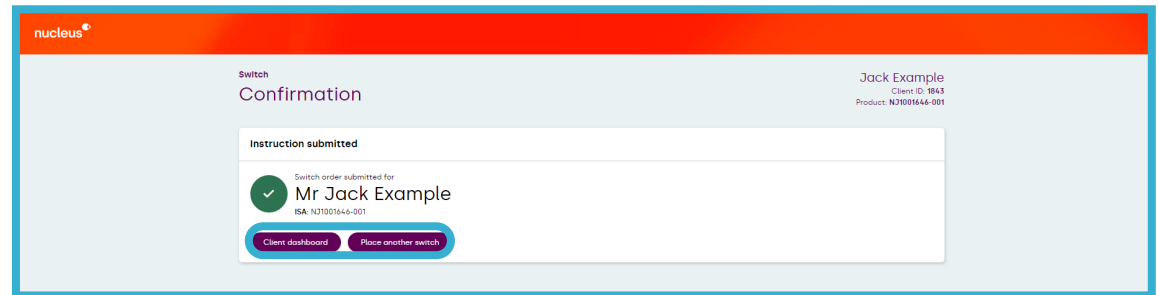
The screenshot displays a web form with the following sections:


- Documents**
 - Document list
 - [Key Information Document](#)
 - [Target Market Information](#)
 - [Ex-Ante C&C Disclosure \(399011\)](#)
- Declarations**
 - Information provided
 - I understand it's my responsibility to complete and send any additional information required to Nucleus in relation to this application, as shown in the previous 'Documents' page or as otherwise required.
 - Disclosure
 - I've provided my client(s) with all required regulatory disclosure documents including, as applicable, a key features illustration, Key Information Documents (KIDs)/Key Investor Information Documents (KIIDs)/Key Investor Information documents (NURS KII), and costs and charges documents for the relevant product and/or investment.
 - I confirm that my client(s) are eligible, under the Platform Services terms and conditions in accordance with applicable law and regulations and the terms of the relevant investment provider(s) or issuer(s), to invest in the chosen investment(s).
 - I've told my client(s) about their cancellation rights in relation to buying collective investments.
 - I have appropriate consent from my client(s) to give this instruction on their behalf.
 - Confirm all

On the right side, there is a **4. Review** section with a **5. Confirmation** step. It contains three buttons: **Save and exit**, **Cancel**, and **Submit** (highlighted in purple).


The switch and redirection instruction have been submitted.

At this stage, you can return to the '**Client dashboard**' or '**Place another switch**'.



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 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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