Nucleus forms – signature requirements

There are a number of forms needed during the application process and for various servicing requests.

The following tables cover the main forms available in our platform library or which are needed for particular events and are provided by the client's executors or transferring arrangement.

- Original documents/signatures: please post the completed form to Nucleus client relations, PO Box 26968 Glasgow, G2 9DY.
- Copy documents: where we can accept a copy, the completed form should be attached to a Jira message.
- Where you attach to a Jira message we do not need the original posted unless we have specifically requested this.
- Signatures: we do not accept electronic signatures.
- Trustee signatures: will be checked against the authorised signatory list on record.
- Please remember to send us an up to date list if a new signatory has signed the instruction.
- Legal documents: when sending us legal documents (i.e. Wills, Grant of probate) ensure this is the full document and not a single page extract.
- Please refer to Certification of legal documents (0330) for full guidance on Nucleus' requirements.

Application documents

Form	Number	Signatory	Original or copy
Declaration (individual – new client)	0024	Client	Original
Declaration (individual – existing client adding new wrapper)	0024	Client	Copy
Jisa declaration	0314	Registered contact	Original
Declaration (Corporate, Trust – new client)	0027	Clients/ Trustees	Original
Declaration (Corporate, Trust – adding new wrapper)	0027	Clients/ Trustees	Copy
Isa declaration (existing clients)	0145	Client	Copy
Declaration (Additional permitted subscriptions)	0270	Client	Copy
AML (corporate and other non-personal entity)	0017	Adviser	Original*
AML (individual) For any client not verified via the online application e.g. third party payer, Power of Attorney	0016	Adviser	Original*
Direct debit mandate	Various	Clients/ Employer	Original

* Copy can be attached to Jira messaging in order to progress the application, however the original should be posted to client relations for our records.

Fee forms

Form	Number	Signatory	Original or copy
Increase to annual adviser charge	0410	Client(s)	Copy
Ad-hoc fee form	0160	Client(s)	Copy
Client fee authority on top ups and regular	0204	Client(s)	Copy
Onshore and Offshore Bond annual adviser fees – client authority	0149	Client(s)	Copy
Offshore Bond Fee authority	0163	Client(s)	Original

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Offshore bond

Form	Number	Signatory	Original or copy
Application form	0235	Client(s)	Original
Top up form	0071	Client(s)	Original

Onshore bond

Form	Number	Signatory	Original or copy
Supplementary application form	0156	Client(s)	Original
Top up form	0213	Client(s)	Original
Deed of assignment	0123	Client(s)	Original
Notification of lost/ non receipt of policy schedule	0250	Client(s)	Original

Pension to drawdown (either existing Nucleus Pension or immediate Drawdown after a transfer in)

Form	Number	Signatory	Original or copy
Pension drawdown Or take income summary (from platform)	0028	Client	Copy

Existing drawdown – taking income

Form	
n/a	When a client is in flexi-access drawdown and wishes to commence income we do not require a signed client instruction. The adviser can send instruction to commence income (amount, start date, frequency) via Jira messaging. Any income from capped drawdown accounts should be requested via the maintenance tab as normal.

Converting capped drawdown to Flexi access drawdown

Form	
n/a	When a client wishes to convert from capped to flexi drawdown the adviser can do this online by clicking the Convert to Flexi-access button on the platform. To commence income we do not require a signed client instruction. The adviser can send instruction to commence income (amount, start date, frequency) via Jira messaging.

Withdrawal forms

Form	Number	Signatory	Original or copy
Income withdrawal General/General(Gross) and Isa Individual clients	0023	Client or adviser	Copy
Income withdrawal General/General(Gross) Corporate and Trust clients	0023	Client(s)/ Trustees	Copy
Onshore Bond Withdrawal/income request Individual clients	0114	Client or adviser	Copy
Onshore Bond Withdrawal/ income request Corporate or Trust clients	0114	Client(s)/ Trustees	Copy
Offshore Bond Withdrawal/ surrender request	0068	Client(s)/ Trustees	Original

Transfer forms

Form	Number	Signatory	Original or copy
Isa transfer	0020	Client(s)	Original
Jisa transfer	0315	Registered contact	Original
Pension transfer	0021	Client(s)	Original
Pension discharge money out	0041	Client(s)	Original
Ceding company discharge forms	n/a	Client(s)	Original
APS transfer authority form	0358	Client(s)	Original
Reregistration authority	n/a	Client(s)	Original
Stock transfer form	0091	Client(s)	Original
Crest transfer form	0090	Client(s)	Original
Inter account transfer – client authority (where client transferring funds to another client from their own account)	0212	Client(s)	Copy – we can also accept a signed letter

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Death forms

Form	Number	Signatory	Original or copy
Death certificate	n/a		Original or certified copy
Nomination of death benefit	0110	Client(s)	Copy
Nomination of death benefit (APP)	0281	Client(s)	Copy
Death claim declaration	0119	Executors	Original
Grant of probate original	n/a	Court seal	Original
Will	n/a	Owner of will	Original or certified copy

Other important forms

Form	Number	Signatory	Original or copy
Change in bank details	0136	Client(s)	Copy (unless the client holds an Offshore Bond)
DFM authority	n/a	Client(s)	Copy
Letter of authority (change in adviser and/or for information only)	n/a	Client(s)	Copy
Letter of authority including an Offshore Bond account (change in adviser)	n/a	Client(s)	Original
Change of registered contact (Jisa)	n/a	Registered contact	Copy

If you have any questions about signature requirements, please contact your regional client relations manager via Jira messaging, or by phoning the appropriate regional number which can be found on the Contact us tab of the platform.

client.relations@nucleusfinancial.com @nucleuswrap www.nucleusfinancial.com