When is an application summary required?
Also known as top-up forms

- When you key a client application online there are a number of documents that must be submitted to Nucleus client relations to complete the application. The documentation requirements differ depending on the type of client and account you are setting up.
- One document that can cause confusion is the application summary, as it's not required in all cases. Non-receipt when it is required may cause a delay in applying the client's investments.
- When you have completed your application, click submit, and print the application summary to include in your submission to Nucleus (where required) as outlined in the table below.

Notes

- Additional manual applications are required for our Onshore Bond and Offshore Bond. Please refer to the account specific section in the platform library for copies of these forms.
- Please remember to submit the relevant Declaration if this is a new client or a new wrapper for an existing client.
- Please also remember to include the relevant fee authority if you have agreed a fee with the client.

Application type	Is a copy of the online summary required	Comments
• New clients • Cash and in specie transfers for new and existing clients • Inter account transfers between different wrappers and/or clients • Regular contribution applications for new and existing clients	Yes	Where an inter account transfer is being made between different clients account (i.e. Mr Bloggs' General to Mrs Bloggs' Isa) we will also require Mr Bloggs' authority to transfer the cash/assets. This can be via form 0212 Inter account transfer – client authority or a letter from Mr Bloggs. The payment method would be keyed as "direct credit".
Lump sum to top up an existing account	No	Where payment is received via BACS or cheque this is the only prompt we need to apply. Note: BACS payments should be referenced with the client's account number to ensure we can match the payment to the application. Please remember to key the application to your client's account before arranging the BACS payment.
Inter account transfers between same wrapper types for the client i.e. General to General, Isa to Isa for Mrs Bloggs	No	This is an automated process.
Bed & Isa	No	This is an automated process. Note – Isa declaration required if the client has not subscribed in the previous tax year. You will be unable to key the Bed & Isa application before the declaration has been received.

If you have any questions about the application summary, please contact your regional client relations manager via jira messaging, or by phoning the appropriate regional number below.

Scotland, NI and north west England 0131 226 9815
North east and south east 0131 226 9808
Midlands, south west and Wales 0131 226 9804
London and south 0131 226 9801