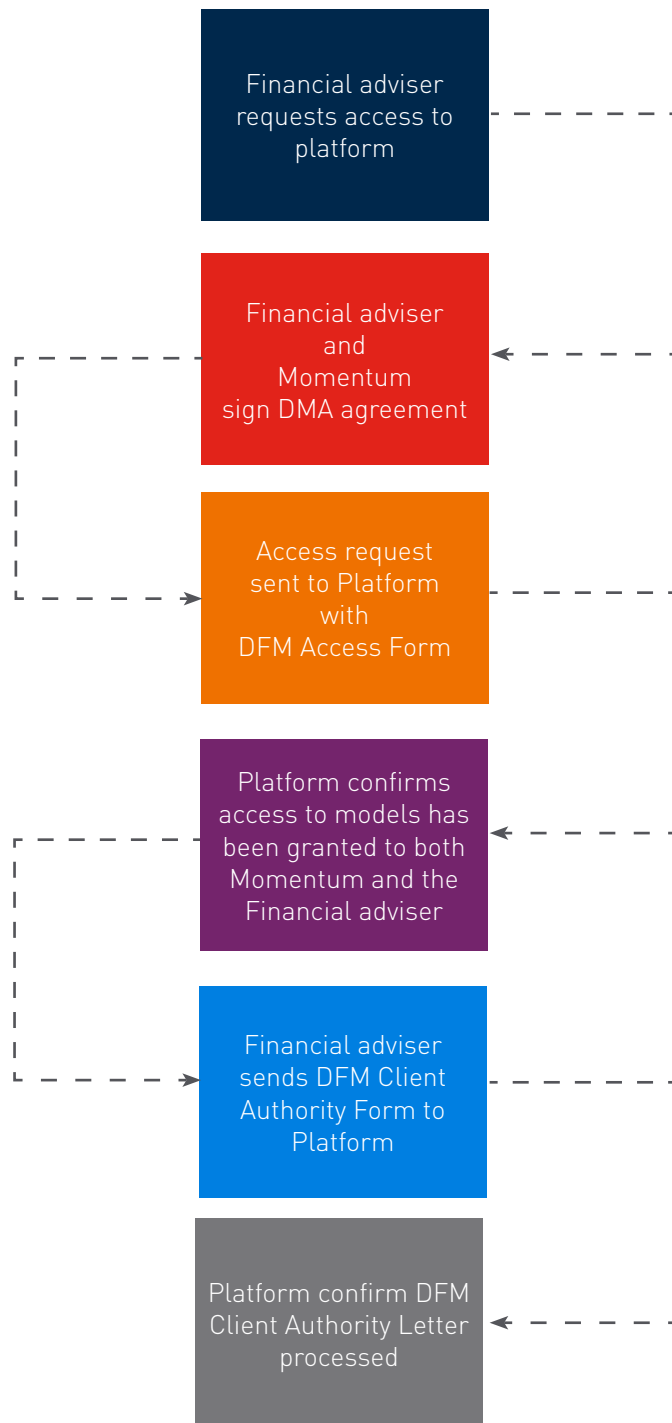


Platform process

The following process is applies to the **Nucleus platform**.



The following process applies to the **Nucleus Platform**



Momentum Requirements;

The financial adviser needs to sign the Discretionary Management Agreement (DMA) and return this to Momentum, this can be either;

- a scanned document sent by email to advisersolutions@momentum.co.uk
- a fax sent to +44 (0)20 7480 0730 or
- posted to Momentum, The Rex Building, 62 Queen Street, London, EC4R 1EB

Once the DMA has been received by Momentum, Momentum will complete an access form and send to Nucleus, once received Nucleus will then link the financial adviser to the models requested.

Platform Requirements;

Once Nucleus confirms access has been granted to the adviser firm they will provide a DFM Client Authority Letter to the adviser firm, this is pre-populated with Momentums name.

The DFM fee is not pre-populated and should be confirmed with Momentum.

A DFM Client Authority Letter is required for each client account and should be submitted using the DFM service. This can be completed electronically using a system called JIRA to provide a pdf (or similar) copy of the original letter. The letter can also be emailed to client.relations@nucleusfinancial.co.uk. An account number is needed for this, if the account number is not known the adviser can speak to their client relations manager.

The DFM Client Authority Letter should be submitted electronically via the Client relations manager via a system called JIRA or by email. The Client relations manager will confirm back once the DFM Client Authority Letter has been processed and the individual link between the client account and DFM is in place. At this point the required model can be selected and rebalance requested. The Client relations manager can assist with any queries on the processing of the DFM Client Authority Letter and/or selecting the models for investment.

Process for new Business;

The financial adviser submits new business online and cash to Nucleus. If selecting Momentum's portfolios an on-line submission of a DFM client authority letter is required. This is pre-populated, the client needs to sign this which confirms he is agreeing to Momentums fees.

Process for investing into Momentum's Portfolios;

Once the DFM client authority letter has been received by Nucleus investments can be made directly into the portfolios.

Platform Cash Requirement;

Nucleus have a 2% cash requirement.

Does Nucleus Pre-Fund Switching?

No, however there are some agreements in place so when the switch has been submitted and confirmed they can go-ahead and buy the new fund. To process a switch please follow the instructions

- Log on to client account number
- You will then be presented with a screen with a pencil icon
- Click on the pencil icon which allows you to edit the fund selection
- Select the fund you require
- Select rebalance today
- Then Save

Does Nucleus Pre-Fund when rebalancing?

No

Does Nucleus Pre-Fund income payments?

No