

## Forms to submit - Core & Limited Scope

Individuals at Core and Limited Scope firms will be automatically converted when the new regime starts. Other forms may be needed for additional applications and where the firm has a Chair.

Scenario	Action
Convert approved individuals to mapped SMFs.	No action required.
An approved individual in a mapped function is not to be converted to the corresponding SMF (e.g. where they have resigned)	Submit Form C for that individual.
A CF2 – Non-Executive Director is currently also acting as the Chair and wishes to continue in that role under the new regime.	Submit Form K only for the individual to become the Chair.
An approved individual is going to give up an existing controlled function that will lapse at the start of the new regime and take up a new convertible controlled function, with the intention that they will be converted to a relevant SMF. For example, an individual moving from CF29 Senior Management Function to CF1 – Director function in order to hold SMF3 – Executive Director under the new regime.	Submit the existing APR Form E.
An approved individual is going to give up an existing controlled function that will lapse at the start of the new regime and take up a new SMF after Commencement.	Submit the new SMCR form A.
	Submit a SoR.
Seeking approval for a new individual with immediate effect, so that they can be converted to a mapped SMF after Commencement	Submit the existing APR Form A.
Seeking approval for a new individual with effect after Commencement.	Submit the new SMCR form A.
	Submit a SoR.
An existing Executive Chair is currently approved to perform the CF1 – Director function and wishes to continue as Executive Chair under the new regime.	Submit the SMCR Form A for the new SMF9 –Chair function. The existing executive CF held will be automatically converted to a mapped SMF.
	Submit a SoR.
Applying for a new individual to become Executive Chair at the start of the new regime.	Submit the SMCR Form A for the executive SMF function and SMF9 – Chair functions being applied for.
	Submit a SoR.

Source: FCA