

Notification number  
(for FCA use only)

## Form O – Notification of change to firm classification under the Senior Managers & Certification Regime (Pre-Commencement version)

*FCA Handbook* Reference: SUP TP 11A

Terms defined in the *FCA Handbook* are italicised and should be construed accordingly.

This form can only be used by solo-regulated SMCR *firms*. It is not relevant to dual regulated SMCR *firms*, appointed representatives or SMCR *firms* that are defined as an *enhanced scope SMCR firm* because they meet the qualification criteria in SYSC 23 Annex 1.

*Limited scope SMCR firms* and *core SMCR firms* can use this form to notify the FCA that they agree to be subject to the rules for *enhanced scope SMCR firms*, set out in SYSC 23 Annex 1. *Limited scope SMCR firms* can use this form to notify the FCA that they agree to be subject to the rules for *core SMCR firms*, set out in SYSC 23 Annex 1.

The pre-Commencement version of Form O can be submitted up to six months before the regime takes effect. If it is submitted three months or less before the regime takes effect, *firms* will need to submit the supporting documentation listed in Section 2 at the same time.

The opt-up will take effect at Commencement. To withdraw a notification, *firms* must write to us before the opt-up takes effect. Once the opt-up has taken effect, *firms* can use Form O to revert to the SMCR classification defined in SYSC 23 Annex 1. This will be effective one year from the date of notification.

*Firms* opting-up should ensure they understand and are in a position to comply with the relevant rules, set out in the FCA's Senior management arrangements, Systems and Controls (SYSC), Supervision (SUP), Code of Conduct (COCOM) sourcebooks. The decision should be made at the appropriate levels and approved at *governing body* level. As a result of opting-up, *firms* will be subject to rules relating to additional Senior Management Functions and Prescribed Responsibilities. *Firms* opting-up to *enhanced scope SMCR firm* classification will also be subject to requirements on Responsibilities Maps, Handover Procedures and Overall Responsibilities.

9 June 2019

Name of *firm*

*Firm* Reference Number (FRN)

Financial Conduct Authority  
12 Endeavour Square  
Stratford  
London E20 1JN

United Kingdom

Telephone +44 (0) 300 500 0597

E-mail [firm.queries@fca.org.uk](mailto:firm.queries@fca.org.uk)

Website <http://www.fca.org.uk>

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

## Contact Details

## Section 1

### 1.1 Contact for this notification (at the *notifying firm*)

Title	
First name	
Surname	
Job title	
Business address	
Postcode	
Phone number	
Email address	

**Notification that the firm is opting-up** **Section 2**

**2.1 Changes to the SMCR classification of the firm**

Please indicate the type of notification you are making.

Notification type	Firm response
<i>Core SMCR firm</i> agreeing to be subject to the rules for <i>enhanced scope SMCR firms</i>	<input type="checkbox"/>
<i>Limited scope SMCR firm</i> agreeing to be subject to the rules for <i>core SMCR firms</i>	<input type="checkbox"/>
<i>Limited scope SMCR firm</i> agreeing to be subject to the rules for <i>enhanced scope SMCR firms</i>	<input type="checkbox"/>

**2.2 Supporting documents**

Please tick to indicate which documents are being submitted with this notification. If this notification is submitted three months or less before the regime takes effect, firms will need to submit the supporting documentation listed at the same time. Supporting documents must be submitted at least one week before Commencement.

Supporting documents	<i>Firms opting-up to Enhanced scope SMCR firm classification</i>	<i>Limited Scope SMCR firms opting-up to core SMCR firm classification</i>
Form A applications for new <i>senior management functions</i>	<input type="checkbox"/>	<input type="checkbox"/>
Form K – Conversion notification	<input type="checkbox"/>	<input type="checkbox"/> *

\*Only required if a CF2 Non-Executive Director is going to perform the SMF9 – Chair function

## Declarations and signatures

## Section 3

In this declaration, the authorised *firm* making the notification is referred to as the “*firm*”.

The person signing on behalf of the *firm* confirms that:

- they have read this declaration in full;
- they have the authority of the *firm's governing body* to make this notification;
- the *firm's* governing body understands their regulatory responsibilities following the opt-up, as set out in the *FCA's* Senior management arrangements, Systems and Controls (*SYSC*), Supervision (*SUP*), Code of Conduct (*COCOM*) sourcebooks;
- the *firm's* governing body understands that, once the opt-up takes effect, the *notifying firm* will not be able to revert to its previous *SMCR* classification (as defined in *SYSC* 23 Annex 1) for at least one year.

It is a criminal offence, knowingly or recklessly, to give the *FCA* information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000). The *notifying firm* must notify the *FCA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided.

For the purposes of complying with *data protection legislation*, please read the *FCA's* privacy notice at <https://www.fca.org.uk/data-protection>. This notice will tell you what to expect when the *FCA* collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

Name of the authorised *firm*

Name of *person* signing on behalf of the authorised *firm*

Position

Signature

Date