

# Chapter 1

## Preliminary: all securities

## 1.3 Information gathering and publication

### Information gathering

1.3.1

**R**

An *issuer* must provide to the *FCA* as soon as possible:

- (1) any information and explanations that the *FCA* may reasonably require to decide whether to grant an application for *admission*;
- (2) any information that the *FCA* considers appropriate to protect investors or ensure the smooth operation of the market; and
- (3) any other information or explanation that the *FCA* may reasonably require to verify whether *listing rules*, *disclosure requirements*, *transparency rules* and *corporate governance rules* are being and have been complied with.

### The *FCA* may require issuer to publish information

1.3.2

**R**

- (1) The *FCA* may, at any time, require an *issuer* to publish such information in such form and within such time limits as it considers appropriate to protect investors or to ensure the smooth operation of the market.
- (2) If an *issuer* fails to comply with a requirement under (1), the *FCA* may itself publish the information (after giving the *issuer* an opportunity to make representations as to why it should not be published).

### Misleading information not to be published

1.3.3

**R**

An *issuer* must take reasonable care to ensure that any information it notifies to a *RIS* or makes available through the *FCA* is not misleading, false or deceptive and does not omit anything likely to affect the import of the information.

### Notification when a *RIS* is not open for business

1.3.4

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If an *issuer* is required to notify information to a *RIS* at a time when a *RIS* is not open for business, it must distribute the information as soon as possible to:

- (1) not less than 2 national newspapers in the *United Kingdom*;

- (2) 2 newswire services operating in the *United Kingdom*; and
- (3) a *RIS* for release as soon as it opens.

**Key persons contact details**

1.3.5

**R**

- (1) An *issuer* must ensure that the *FCA* is provided, at all times, with up-to-date contact details of at least 2 of its executive *directors* (or, where the *issuer* has no executive *directors*, at least 2 of its *directors*), including their name, business telephone number and business email address. Where the *issuer* has only 1 executive *director* or has only 1 *director*, then the *issuer* must ensure the *FCA* is provided with the details of this *director*.
- (2) The *issuer* must notify the *FCA* of any changes to the contact details under (1) as soon as possible.

1.3.6

**G**

The *directors* whose contact details are provided under **■ UKLR 1.3.5R** will be expected to be key persons who are able to assist the *FCA* regarding matters that require an urgent response.

**Service of notices**

1.3.7

**R**

An *issuer* must ensure that the *FCA* is provided, at all times, with up-to-date contact details of a nominated person at the *issuer*, including their address for the purposes of receiving service of *relevant documents*.

1.3.8

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The address referred to in **■ UKLR 1.3.7R** must be:

- (1) an email address where the *issuer* provides written consent to receive service of *relevant documents* by email; or
- (2) a postal address in the *UK* where written consent to email service mentioned in (1) above is not given.

[**Note:** There are additional requirements to provide first point of contact details set out in **■ UKLR 6.2.19R** including as applied by **■ UKLR 11.4.1R**, **■ UKLR 12.3.6R**, **■ UKLR 13.3.11R**, **■ UKLR 14.3.8R**, **■ UKLR 16.3.7R** and **■ UKLR 22.2.8R.**]