

Chapter 11

Closed-ended investment funds: requirements for listing and continuing obligations



11.3 Listing applications and procedures

Sponsors

- 11.3.1 **G** An *applicant* that is seeking admission of its *equity shares* is required to retain a *sponsor* in accordance with ■ UKLR 4 (Sponsors: responsibilities of issuers) on each occasion that it is required to submit to the *FCA* any of the documents listed in ■ UKLR 4.2.1R(1).

Multi-class fund or umbrella fund

- 11.3.2 **R** An application for the *listing* of *securities* of a multi-class fund or umbrella fund must provide details of the various classes or designations of *securities* intended to be issued by the *applicant*.