

## Chapter 19

# Warrants, options and other miscellaneous securities: continuing obligations



## 19.3 Disclosures

**19.3.1** **R** An issuer must submit to the FCA a copy of any document required by **■** UKLR 19.3.2R and **■** UKLR 19.3.3R at the same time as the document is issued, by uploading it to the *national storage mechanism*.

**19.3.2** **R** An issuer must notify a RIS of all notices to holders of *listed miscellaneous securities* no later than the date of despatch or publication.

### Underlying securities

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**19.3.3** **R** An issuer must notify a RIS of any adjustment or modification it makes to a *miscellaneous security* as a result of any change to a *security* over which the *listed miscellaneous security* carries a right to buy or subscribe.

### Suspension of listing

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**19.3.4** **R** An issuer must inform the FCA immediately if it becomes aware that any *security* over which the *listed miscellaneous security* carries a right to buy or subscribe that is *listed* or traded outside the *United Kingdom* has been suspended.