

Chapter 20

Admission to listing: processes and procedures



20.2 Application for admission to listing

Location of official list

20.2.1 G The FCA will maintain the *official list* on its website.

Method of application

20.2.2 R An *applicant* for *admission* must apply to the FCA by:

- (1) submitting, in final form:
 - (a) the document described in ■ UKLR 20.3 in the case of an *applicant* which is making an application for *admission* for the first time;
 - (b) the documents described in ■ UKLR 20.4 in the case of an application in respect of *shares*;
 - (c) the documents described in ■ UKLR 20.5 in the case of an application in respect of *debt securities* or other *securities*; and
 - (d) the documents described in ■ UKLR 20.6 in the case of a block listing;
- (2) submitting all additional documents, explanations and information as required by the FCA;
- (3) submitting verification of any information in such manner as the FCA may specify; and
- (4) paying the fee set out in ■ FEES 3 by the required date.

20.2.3 G Before submitting the documents referred to in ■ UKLR 20.2.2R(1), an *applicant* should contact the FCA to agree the date on which the FCA will consider the application.

20.2.4 R All documents must be submitted to Issuer Management at the FCA’s address.

Grant of an application for admission to listing

20.2.5 G The FCA will admit *securities* to *listing* if all relevant documents required by ■ UKLR 20.2.2R have been submitted to the FCA.

- 20.2.6 G When considering an application for *admission to listing*, the *FCA* may:
- (1) carry out any enquiries and request any further information which it considers appropriate, including consulting with other regulators or exchanges;
 - (2) request that an *applicant*, or its specified representative, answer questions and explain any matter the *FCA* considers relevant to the application for *listing*;
 - (3) take into account any information which it considers appropriate in relation to the application for *listing*;
 - (4) request that any information provided by the *applicant* be verified in such manner as the *FCA* may specify;
 - (5) impose any additional conditions on the *applicant* as the *FCA* considers appropriate; and
 - (6) take into account any concerns the *FCA* may have that the *applicant* has not responded satisfactorily to any queries by the *FCA* or has not been open and cooperative in its dealings with the *FCA*.
- 20.2.7 G The *admission* becomes effective only when the *FCA*'s decision to admit the *securities to listing* has been announced by being either:
- (1) disseminated by a *RIS*; or
 - (2) posted on a noticeboard designated by the *FCA*, should the electronic systems be unavailable.