

## 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.