

Chapter 3

Application, Notification and Vetting Fees

UKLA transaction fees

Category	Fee payable (£)
A1	0
A2	2,000
A3	5,000
A4	15,000
A5	20,000
A6	50,000

For the purposes of FEES 3 Annex 12R:

Category A1 includes:

- (a) applying for eligibility for *listing of securities* under ■ LR 17; or
- (b) applying for eligibility for *listing of miscellaneous securities* under ■ LR 20; or
- (c) applying for eligibility for *listing of equity shares* where ■ LR 6.1.1R(1) or (2) applies; or
- (ca) applying for eligibility for *listing of equity shares* where ■ LR 21.2.5R(1) or (2) applies; or
- (cb) applying for eligibility for *listing of certificates representing shares* where ■ LR 21.6.13R(1) or (2) applies; or
- (d) [deleted]
- (e) applying for the approval of a material change to the published investment policy of a *closed-ended investment fund* under ■ LR 15.4.8R; or
- (f) [deleted]; or
- (g) applying for the approval of:
 - (i) a *supplementary prospectus*; or
 - (ii) *supplementary listing particulars*; or
 - (iii) a *securities note*; or
 - (iv) a *summary*;

Category A2 includes:

- (a) applying for the approval of:
 - (i) a *prospectus* in relation to *non-equity transferable securities*; or
 - (ii) a *registration document* in relation to *non-equity transferable securities*; or
 - (iii) *listing particulars* in relation to *non-equity transferable securities*;
- (b) where an *issuer* has a market capitalisation of less than £500 million:

- (i) applying for the approval of a *prospectus* in relation to *equity securities*; or
- (ii) applying for the approval of a *registration document* in relation to *equity securities*; or
- (iii) applying for the approval of *listing particulars* in relation to *equity securities*; or
- (iv) [deleted];
- (v) applying for the approval of a *universal registration document*; or
- (vi) applying for the approval of a *specified exempted document*;

(c) submitting a *circular* for approval; or

(d) where an *issuer* is a *closed-ended investment fund*:

- (i) applying for the approval of a *prospectus* in relation to *equity securities*; or
- (ii) applying for the approval of a *registration document* in relation to *equity securities*; or
- (iii) applying for the approval of *listing particulars* in relation to *equity securities*; or
- (iv) [deleted]; or
- (v) applying for the approval of a *universal registration document*;
- (vi) applying for the approval of a *specified exempted document*; or

(e) [deleted]

Category A3 includes:

- (a) applying for eligibility for *listing of equity shares* under ■ LR 15; or
- (b) applying for eligibility for *listing of equity shares* under ■ LR 16A; or
- (c) applying for approval as a *sponsor* following a change in legal status;

Category A4 includes:

- (a) applying for eligibility for *listing of equity shares* under ■ LR 6; or
- (b) applying for eligibility for *listing of shares* under ■ LR 14; or
- (c) applying for eligibility for *listing of securities* representing certain *securities* under ■ LR 18; or
- (d) applying for eligibility for *listing of securities* under ■ LR 19; or
- (da) applying for eligibility for *listing of equity shares* under ■ LR 21; or
- (db) applying for eligibility for *listing of certificates representing shares* under ■ LR 21; or
- (e) applying for the approval of:
 - (i) a *prospectus* in relation to *equity securities*; or
 - (ii) a *registration document* in relation to *equity securities*; or
 - (iii) *listing particulars* in relation to *equity securities*;
- (f) applying for the approval of a *universal registration document*; or
- (g) applying for the approval of a *document* that includes a *mineral expert's report*; or
- (h) applying for approval as a *sponsor*; or

(i) applying for the approval of a *specified exempted document*;

Category A5 includes applying for the approval or review of a *document* in relation to a *significant transaction*; and

Category A6 includes applying for the approval or review of a *document* in relation to a *super transaction*.

Primary information providers (PIPs)

An application for approval as a *primary information provider* attracts a fee at Category 7 level as set out in ■ FEES 3 Annex 1AR.