

# Chapter 1

Preliminary: All securities

1.4 Miscellaneous

Appointment of sponsor

- 1.4.1
- R
- (1) If it appears to the *FCA* that there is, or there may be, a breach of the *listing rules* or the *disclosure requirements* and *transparency rules* by an *issuer* with a *premium listing*, the *FCA* may in writing require the *issuer* to appoint a *sponsor* to advise the *issuer* on the application of the *listing rules*, the *disclosure requirements* and the *transparency rules*.

(2) If required to do so under (1), an *issuer* must, as soon as practicable, appoint a *sponsor* to advise it on the application of the *listing rules*, the *disclosure requirements* and the *transparency rules*.

[Note: ■ LR 8.2 sets out the various circumstances in which an *issuer* must appoint, or obtain guidance from, a *sponsor*.]

Overseas companies

- 1.4.2
- R
- If a *listing rule* refers to a requirement in legislation applicable to a *listed company* incorporated in the *United Kingdom*, a *listed overseas company* must comply with the requirement so far as:

(1) information available to it enables it to do so; and

(2) compliance is not contrary to the law in its country of incorporation.

- 1.4.3
- R
- A *listed overseas company* must, if required to do so by the *FCA*, provide the *FCA* with a letter from an independent legal adviser explaining why compliance with a requirement referred to in ■ LR 1.4.2 R is contrary to the law in its country of incorporation.

- 1.4.4
- R
- [deleted]

- 1.4.5
- G
- [deleted]

English language

- 1.4.6
- R
- A *document* that is required under a *listing rule* to be filed, notified to a *RIS*, provided to the *FCA* or sent to *security holders* must be in English.

1.4.7	R	<b>Market abuse safe harbours</b> ..... [deleted]
1.4.8	G	<b>Fees</b> ..... The provisions relating to periodic fees for <i>issuers</i> and <i>sponsors</i> are set out in ■ FEES 1, ■ 2 and ■ 4.
1.4.9	G	<b>Electronic Communication</b> ..... (1) If the <i>listing rules</i> require an <i>issuer</i> to send documents to its <i>security holders</i> , the <i>issuer</i> may, in accordance with ■ DTR 6.1.8 R, use <i>electronic means</i> to send those documents.
1.4.9A	R	A reference to a copy (or copies) of a document in the <i>listing rules</i> includes a copy (or copies) of a document produced, recorded or stored using <i>electronic means</i> .
1.4.10	R	[deleted]
1.4.11	R	<b>Use of an RIS</b> ..... Where a <i>listing rule</i> requires an <i>issuer</i> subject to ■ DTR 6.3.1 R to use the services of an <i>RIS</i> , the <i>issuer</i> must comply with the provisions of ■ DTR 6.3.
1.4.12	R	Where a <i>listing rule</i> requires an <i>issuer</i> who is not subject to ■ DTR 6.3.1 R to use the services of an <i>RIS</i> , the <i>issuer</i> must comply with the provisions of ■ DTR 6.3, except in relation to information which is required to be disclosed under articles 17 and 19 of the <i>Market Abuse Regulation</i> or the <i>DTR</i> .