

## Chapter 3

# Listing applications: All securities

## 3.2 Application for admission to listing

### Location of official list

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

### Method of application

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

- (1) submitting, in final form:
  - (a) the documents described in ■ LR 3.3 in the case of an application in respect of *equity shares*;
  - (b) the documents described in ■ LR 3.4 in the case of an application in respect of *debt securities* or other *securities*;
  - (c) the documents described in ■ LR 3.5 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.

3.2.3 **G** Before submitting the documents referred to in ■ LR 3.2.2 R (1), an *applicant* should contact the *FCA* to agree the date on which the *FCA* will consider the application.

3.2.4 **R** All documents must be submitted to the Issuer Management at the *FCA*'s address.

### Grant of an application for admission to listing

3.2.5 **G** The *FCA* will admit *securities to listing* if all relevant documents required by ■ LR 3.2.2 R have been submitted to the *FCA*.

3.2.6 **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; and
- (5) impose any additional conditions on the *applicant* as the *FCA* considers appropriate.

3.2.7

**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 notice board designated by the *FCA* should the electronic systems be unavailable.