

Listing Rules

LR TR 3 Transitional Provisions for Investment Entities already listed under LR 14

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
1.	LR 5.2.7A R, LR 14, LR 15 and LR 16	R	<p>These transitional provisions apply to an entity that is an <i>overseas company</i> and an <i>investment entity</i> and that immediately before 6 March 2008 did not comply with the requirements of LR 15 or LR 16 (as in force at the time) but complied with the requirements of LR 14.</p> <p>Note: LR 16A replaced LR 16 for the listing of <i>open-ended investment companies</i> on 4 January 2022.</p>	6 April 2010 In-definite	6 April 2010
2.	LR 5.2.7A R, LR 14, LR 15 and LR 16A	R	LR 14 continues to apply to the entity for so long as it is listed after that date (and LR 15 and LR 16A do not apply) unless the entity makes an election under rule 3 of these transitional provisions.	4 January 2022 Indefinite	4 January 2022

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
3.	LR 5.2.7A R, LR 14, LR 15 and LR 16A	R	The entity may by notice in writing given to the <i>FCA</i> elect to comply with the requirements of LR 15 or LR 16A (whichever is applicable to the entity) instead of the requirements in LR 14 from a date specified in the notice. An entity should not give notice under this transitional rule unless it has come to a reasonable opinion, after having made due and careful enquiry, that it can satisfy the requirements of and LR 16A (as the case may be).	4 January 2022 Indefinite	4 January 2022
4.	LR 5.2.7A R, LR 14, LR 15 and LR 16A	R	If an entity gives a notice under TR3 3R of these transitional provisions it must comply with the requirements of LR 15 or LR 16A (as the case may be) from the date specified in the notice and the requirements of LR 14 no longer apply to the entity	4 January 2022 Indefinite	4 January 2022

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
			from that date.		
<p>Note: An entity which intends to give notice under LR TR 3 3R should consult with the FCA at the earliest possible stage if it intends to comply with the requirements of LR 15 or LR 16A (whichever is applicable to the entity) instead of the requirements in LR 14.</p>					

