

LISTING RULES (CONTACT WITH THE FSA) INSTRUMENT 2012**Powers exercised**

- A. The Financial Services Authority makes this instrument in the exercise of the power in section 157(1) (Guidance) of the Financial Services and Markets Act 2000.

Commencement

- B. This instrument comes into force on 30 September 2012.

Amendments to the Handbook

- C. The modules of the FSA's Handbook of rules and guidance listed in column (1) below are amended in accordance with the Annexes to the instrument listed in column (2).

(1)	(2)
Supervision manual (SUP)	Annex A
Listing Rules sourcebook (LR)	Annex B
Disclosure Rules and Transparency Rules sourcebook (DTR)	Annex C

Citation

- D. This instrument may be cited as the Listing Rules (Contact with the FSA) Instrument 2012.

By order of the Board
26 July 2012

Annex A

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text.

9.2.1 G Requests for individual *guidance* may be made in writing or orally. Requests for individual *guidance* in relation to the *Part 6 rules* should be made in writing other than in circumstances of exceptional urgency or in the case of a request from a *sponsor* in relation to the provision of a *sponsor service*. If oral queries raise complex or significant issues, the *FSA* will normally expect the details of the request to be confirmed in writing. Simple requests for *guidance* may often be dealt with orally, although it is open to a *person* to seek a written confirmation from the *FSA* of oral *guidance* given by the *FSA*.

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9.2.4 G The *FSA* does not expect to enter into discussions on a ‘no-name’ basis about the affairs of an individual *person* ~~except in relation to SUP 9.2.4AG.~~

9.2.4A G ~~The *FSA* may enter into discussions with a *person* on a ‘no-names’ basis about how a particular requirement in the *Part 6 rules* should be interpreted, but:~~

- ~~(1) the *FSA* will not be bound by any *guidance* given in response to the request; and~~
- ~~(2) the *person* receiving the *guidance* will not be able to rely upon it.~~
[deleted]

Annex B**Amendments to the Listing Rules sourcebook (LR)**

In this Annex, underlining indicates new text.

Early consultation with FSA

- 1.2.5 G An *issuer* or *sponsor* should consult with the *FSA* at the earliest possible stage if it:
- (1) is in doubt about how the *listing rules* apply in a particular situation;
or
 - (2) considers that it may be necessary for the *FSA* to dispense with or modify a *listing rule*.
- 1.2.6 G Where a *listing rule* refers to consultation with the *FSA*, submissions should be made in writing other than in circumstances of exceptional urgency or in the case of a submission from a *sponsor* in relation to the provision of a *sponsor service*.

Address for correspondence

Note: The *FSA*'s address for correspondence is:

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Annex C

Amendments to the Disclosure Rules and Transparency Rules sourcebook (DTR)

In this Annex, underlining indicates new text.

Early consultation with FSA

1.2.4 G An *issuer, person discharging managerial responsibilities or connected person* should consult with the *FSA* at the earliest possible stage if they:

- (1) are in doubt about how the *disclosure rules* apply in a particular situation; or
- (2) consider that it may be necessary for the *FSA* to dispense with or modify a *disclosure rule*.

1.2.5 G Where a *disclosure rule* refers to consultation with the *FSA*, submissions should be made in writing other than in circumstances of exceptional urgency.

Address for correspondence

Note: The *FSA*'s address for correspondence is:

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Early consultation with FSA

1A.2.4 G An *issuer or other person* should consult with the *FSA* at the earliest possible stage if they:

- (1) are in doubt about how the *transparency rules* apply in a particular situation; or
- (2) consider that it may be necessary for the *FSA* to dispense with or modify a *transparency rule*.

1A.2.5 G Where a *transparency rule* refers to consultation with the *FSA*, submissions should be made in writing other than in circumstances of exceptional urgency.

Address for correspondence

Note: The *FSA*'s address for correspondence in relation to the *disclosure rules* is:

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