

Chapter 6

Continuing obligations and access to information

6.4 Disclosure of Home State

Application

- 6.4.1 **R** In respect of *transferable securities* which are *admitted to trading* on a *regulated market*, this section applies to:
- (1) an *issuer* whose *Home State* is the *United Kingdom* in accordance with the first indent of article 2.1(i)(i) of the *TD*; and
 - (2) an *issuer* who chooses the *United Kingdom* as its *Home State* in accordance with:
 - (a) the second indent of article 2.1(i)(i) of the *TD*; or
 - (b) article 2.1(i)(ii) of the *TD*; or
 - (c) article 2.1(i)(iii) of the *TD*.

Disclosure of Home State

- 6.4.2 **R** An *issuer* must disclose that its *Home State* is the *United Kingdom* in accordance with ■ DTR 6.2 and ■ DTR 6.3.

[Note: article 2.1(i) of the *TD*]

- 6.4.3 **R** An *issuer* must disclose its *Home State* to the *competent authority* of:
- (1) where applicable, the *EEA State* where it has its registered office;
 - (2) the *Home State*; and
 - (3) each *Host State*.

[Note: article 2.1(i) of the *TD*]

- 6.4.4 **R** Where an *issuer* has not disclosed its *Home State* as defined by the second indent of article 2.1(i)(i) of the *TD* or article 2.1(i)(ii) of the *TD* in accordance with ■ DTR 6.4.2R and ■ DTR 6.4.3R within a period of three months from the date the *issuer's* securities are first admitted to trading on a *regulated market*, the *Home State* shall be:

- (1) the *EEA State* where the *issuer's* securities are admitted to trading on a *regulated market*; or
- (2) where the *issuer's* securities are admitted to trading on *regulated markets* situated or operating within more than one *EEA State*, those

EEA States shall be the *issuer's Home State* until a subsequent choice of a single *Home State* has been made and disclosed by the *issuer* in accordance with ■ DTR 6.4.2R and ■ DTR 6.4.3R.

[Note: article 2.1(i) of the *TD*]