

Chapter 3

Application, Notification and Vetting Fees

Primary market transaction fees

| Category | Fee payable (£) |
|----------|-----------------|
| A1 | 0 |
| A2 | 2,180 |
| A3 | 5,440 |
| A4 | 16,310 |
| A5 | 21,750 |
| A6 | 54,380 |

For the purposes of ■ FEES 3 Annex 12R:

Category A1 includes:

- (a)applying for eligibility for *listing* of *securities* under ■ UKLR 17; or
- (b)applying for eligibility for *listing* of *miscellaneous securities* under ■ UKLR 19; or
- (c)applying for eligibility for *listing* of *equity shares* where ■ UKLR 5.1.2R(1) or ■ (2) applies; or
- (ca)[deleted]
- (cb) [deleted]
- (d) [deleted]
- (e)applying for the approval of a material change to the published investment policy of a *closed-ended investment fund* under ■ UKLR 11.4.14R; or
- (f)[deleted]; or
- (g)applying for the approval of:
 - (i)a *supplementary prospectus*; or
 - (ii)*supplementary listing particulars*; or
 - (iii)a *securities note*; or
 - (iv)a *summary*;

Category A2 includes:

- (a) applying for the approval of:
 - (i)a *prospectus* in relation to *non-equity transferable securities*; or
 - (ii)a *registration document* in relation to *non-equity transferable securities*; or
 - (iii)*listing particulars* in relation to *non-equity transferable securities*;
- (b)where an *issuer* has a market capitalisation of less than £500 million:
 - (i)applying for the approval of a *prospectus* in relation to *equity securities*; or

- (ii)applying for the approval of a registration *document* in relation to equity securities; or
- (iii)applying for the approval of listing particulars in relation to *equity securities*; or
- (iv)[deleted];
- (v)applying for the approval of a *universal registration document*; or
- (vi) applying for the approval of a *specified exempted document*;

(c)submitting a *circular* for approval; or

(d)where an *issuer* is a *closed-ended investment fund*:

- (i)applying for the approval of a *prospectus* in relation to *equity securities*; or
- (ii)applying for the approval of a *registration document* in relation to *equity securities*; or
- (iii)applying for the approval of *listing particulars* in relation to *equity securities*; or
- (iv)[deleted]; or
- (v)applying for the approval of a *universal registration document*;
- (vi)applying for the approval of a *specified exempted document*; or

(e)[deleted]

Category A3 includes:

- (a)applying for eligibility for *listing* of *equity shares* under ■ UKLR 11; or
- (b)applying for eligibility for *listing* of *securities* under ■ UKLR 12; or
- (c)applying for approval as a *sponsor* following a change in legal status;

Category A4 includes:

- (a)applying for eligibility for *listing* of *equity shares* under ■ UKLR 5; or
- (b)applying for eligibility for *listing* of *equity shares* under ■ UKLR 13; or
- (ba)applying for eligibility for *listing* of *equity shares* under ■ UKLR 14; or
- (c)applying for eligibility for *listing* of *securities* representing certain *securities* under ■ UKLR 15; or
- (ca)applying for eligibility for *listing* of *non-equity shares* or *non-voting equity shares* under ■ UKLR 16; or
- (d)applying for eligibility for *listing* of *securities* under ■ UKLR 18; or
- (da)[deleted]
- (db)[deleted]
- (e)applying for the approval of:
 - (i)a *prospectus* in relation to *equity securities*; or
 - (ii)a *registration document* in relation to *equity securities*; or
 - (iii)*listing particulars* in relation to *equity securities*;
- (f)) applying for the approval of a *universal registration document*; or

(g)applying for the approval of a *document* that includes a *mineral expert's report*; or

(h)applying for approval as a *sponsor*; or

(i) applying for the approval of a *specified exempted document*;

Category A5 includes applying for the approval or review of a *document* in relation to a *significant transaction*; and

Category A6 includes applying for the approval or review of a *document* in relation to a *super transaction*.

Primary information providers (PIPs)

An application for approval as a *primary information provider* attracts a fee at Category 7 level as set out in ■ FEES 3 Annex 1AR.