

Chapter 1

Preliminary: All securities

1.3 Information gathering and publication

Information gathering

1.3.1

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An *issuer* must provide to the *FCA* as soon as possible:

- (1) any information and explanations that the *FCA* may reasonably require to decide whether to grant an application for *admission*;
- (2) any information that the *FCA* considers appropriate to protect investors or ensure the smooth operation of the market; and [Note: Article 16.1 CARD]
- (3) any other information or explanation that the *FCA* may reasonably require to verify whether *listing rules* are being and have been complied with.

FCA may require issuer to publish information

1.3.2

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- (1) The *FCA* may, at any time, require an *issuer* to publish such information in such form and within such time limits as it considers appropriate to protect investors or to ensure the smooth operation of the market. [Note: Article 16.2 CARD]
- (2) If an *issuer* fails to comply with a requirement under paragraph (1) the *FCA* may itself publish the information (after giving the *issuer* an opportunity to make representations as to why it should not be published). [Note: Article 16.2 CARD]

Misleading information not to be published

1.3.3

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An *issuer* must take reasonable care to ensure that any information it notifies to a *RIS* or makes available through the *FCA* is not misleading, false or deceptive and does not omit anything likely to affect the import of the information.

1.3.4

**Notification when a RIS is not open for business**

If an *issuer* is required to notify information to a *RIS* at a time when a *RIS* is not open for business it must distribute the information as soon as possible to:

- (1) not less than two national newspapers in the *United Kingdom*;
- (2) two newswire services operating in the *United Kingdom*; and
- (3) a *RIS* for release as soon as it opens.