

# Chapter 1

Preliminary: All securities

## 1.4 Miscellaneous

### Appointment of sponsor

- 1.4.1 **R** (1) If it appears to the *FCA* that there is, or there may be, a breach of the *listing rules* or the *disclosure requirements* and *transparency rules* by an *issuer* with a *premium listing*, the *FCA* may in writing require the *issuer* to appoint a *sponsor* to advise the *issuer* on the application of the *listing rules*, the *disclosure requirements* and the *transparency rules*.
- (2) If required to do so under (1), an *issuer* must, as soon as practicable, appoint a *sponsor* to advise it on the application of the *listing rules*, the *disclosure requirements* and the *transparency rules*.

[**Note:** ■ LR 8.2 sets out the various circumstances in which an *issuer* must appoint, or obtain guidance from, a *sponsor*.]

### Overseas companies

- 1.4.2 **R** If a *listing rule* refers to a requirement in legislation applicable to a *listed company* incorporated in the *United Kingdom*, a *listed overseas company* must comply with the requirement so far as:
- (1) information available to it enables it to do so; and
- (2) compliance is not contrary to the law in its country of incorporation.

- 1.4.3 **R** A *listed overseas company* must, if required to do so by the *FCA*, provide the *FCA* with a letter from an independent legal adviser explaining why compliance with a requirement referred to in ■ LR 1.4.2 **R** is contrary to the law in its country of incorporation.

- 1.4.4 **R** [deleted]

- 1.4.5 **G** [deleted]

### English language

- 1.4.6 **R** A *document* that is required under a *listing rule* to be filed, notified to a *RIS*, provided to the *FCA* or sent to *security holders* must be in English.

**Market abuse safe harbours**

1.4.7 **R** [deleted]

**Fees**

1.4.8 **G** The provisions relating to periodic fees for *issuers* and *sponsors* are set out in ■ FEES 1, ■ 2 and ■ 4.

**Electronic Communication**

1.4.9 **G** (1) If the *listing rules* require an *issuer* to send documents to its *security holders*, the *issuer* may, in accordance with ■ DTR 6.1.8 R, use *electronic means* to send those documents.

1.4.10 **R** [deleted]

**Use of an RIS**

1.4.11 **R** Where a *listing rule* requires an *issuer* subject to ■ DTR 6.3.1 R to use the services of an *RIS*, the *issuer* must comply with the provisions of ■ DTR 6.3.

1.4.12 **R** Where a *listing rule* requires an *issuer* who is not subject to ■ DTR 6.3.1 R to use the services of an *RIS*, the *issuer* must comply with the provisions of ■ DTR 6.3, except in relation to information which is required to be disclosed under articles 17 and 19 of the *Market Abuse Regulation* or the *DTR*.