

Listing Rules

LR TR 1

Transitional Provisions: General and Venture Capital Trusts

General Transitional Provisions

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1	Amendments to <i>LR</i> set out in Annex B of the Transparency Obligations Directive (Disclosure and Transparency Rules) Instrument 2006, relating to: (i) DTR 4 and periodic financial reporting; and (ii) DTR 6 in so far as they may relate to, or are required to give effect to, amendments in (i).	R	deleted		
1A	<i>LR</i> provisions referring to Companies Acts 1985, 2006 or related provisions.	R	deleted		
1B	LR 12.4.7 R (2)	R	A <i>company</i> may obtain the approval required by LR 12.4.7 R (2) by extraordinary resolution (rather than a special resolution) if there is a reference to an extraordinary resolution in the <i>company's</i> memorandum and articles which requires or permits it and which continues to have effect by virtue of article 9 and paragraph	From 6 February 2008 until further notice	1 July 2005

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional pro- vision: dates in force	(6) Handbook provi- sion: coming into force
			23 of Schedule 3 of The Compan- ies Act 2006 (Commencement No.3, Con- sequential Amendments, Transitional Pro- visions and Sav- ings) Order 2007.		

Transitional Provisions for venture capital trusts

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional pro- vision: dates in force	(6) Handbook provi- sion: coming into force
2	LR 15.2.11 R - LR 15.2.13A R and LR 15.4.7 R	R	expired		
3	LR 15.6.8 R	R	expired		

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LR TR 2 Transitional Provision for closed-ended investment funds listed before 28 September 2007

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
1	LR 15.4.1A R and LR 15.4.1B G	R	deleted		

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LR TR 3 Transitional Provisions for Investment Entities already listed under LR 14

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
1.	LR 5.2.7A R,LR 14, LR 15 and LR 16	R	These transitional provisions apply to an entity that is an <i>overseas company</i> and an <i>investment entity</i> and that immediately before 6 March 2008 did not comply with the requirements of LR 15 or LR 16 but complied with the requirements of LR 14.	6 April 2010 In-definite	6 April 2010
2.	LR 5.2.7A R,LR 14, LR 15 and LR 16	R	LR 14 continues to apply to the entity for so long as it is listed after that date (and LR 15 and LR 16 do not apply) unless the entity makes an election under rule 3 of these transitional provisions.	6 April 2010 In-definite	6 April 2010
3.	LR 5.2.7A R,LR 14, LR 15 and LR 16	R	The entity may by notice in writing given to the <i>FCA</i> elect to comply with the requirements of LR 15 or LR 16 (whichever is applicable to the entity) instead of the re-	6 April 2010 In-definite	6 April 2010

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
4.	LR 5.2.7A R, LR 14, LR 15 and LR 16	R	<p>quirements in LR 14 from a date specified in the notice. An entity should not give notice under this transitional rule unless it has come to a reasonable opinion, after having made due and careful enquiry, that it can satisfy the requirements of LR 15 and 16 (as the case may be).</p> <p>If an entity gives a notice under TR3 3R of these transitional provisions it must comply with the requirements of LR 15 or LR 16 (as the case may be) from the date specified in the notice and the requirements of LR 14 no longer apply to the entity from that date.</p>	6 April 2010 In-definite	6 April 2010

Note: An entity which intends to give notice under LR 3 LR TR 3 3R should consult with the FCA at the earliest possible stage if it intends to comply with the requirements of LR 15 or LR 16 (whichever is applicable to the entity) instead of the requirements in LR 14.

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LR TR 4

Transitional Provision for Issuers with a Premium Listing that are Overseas Companies

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.8.7 R	R	deleted		

Listing Rules

LR TR 5 Transitional Provision for companies incorporated in the United Kingdom

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.3.12R (1), (2) and (3)	R	deleted		

Listing Rules

LR TR 6

Transitional Provision for overseas companies

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.3.11 R	R	[deleted]		
2.	LR 9.8.7A R	R	[deleted]		
3.	LR 14.3.24 R	R	[deleted]		

Listing Rules

LR TR 7

Transitional Provision for issuers with shares that do not confer full voting rights

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 10, LR 11, LR 12	R	expired		

Listing Rules

LR TR 8

Transitional Provisions for the Combined Code

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
1.	LR 9.8.6R (5) and (6) LR 15.6.6R (2)	R	expired		

Listing Rules

LR TR 9

Transitional Provision for a company that has a premium listing of equity shares but does not comply with LR 9.2.20R

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.2.20 R	R	expired		

Listing Rules

LR TR 10

Transitional Provision in relation to new sponsor services

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 5.6.6 R	R	expired		
2.	LR 5.6.13 R, LR 5.6.17 R, LR 5.6.26 R	R	expired		
3.	LR 13.5.27B R	R	expired		

Listing Rules

LR TR 11

Transitional Provisions in relation to Annual Financial Report

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.8	R	<p>(1) LR 9.8 does not apply to a <i>listed company</i> with a financial year ending before 30 September 2013, or to a <i>listed company</i> with a financial year ending on or after 30 September 2013 whose annual financial report has been made public on or before 13 December 2013.</p> <p>(2) A <i>listed company</i> with a financial year ending before 30 September 2013, or a <i>listed company</i> with a financial year ending on or after 30 September 2013 whose annual financial report has been made public on or before 13 December 2013, must instead comply with the requirements set out in LR App 2.</p>	From 13 December 2013	13 December 2013

Listing Rules

LR TR 12

Transitional Provisions in relation to continuing obligations regarding premium listing

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.2.2AR (2)(a)	R	LR 9.2.2AR (2)(a) does not apply.	From 16 May 2014 up to and including 16 November 2014	16 May 2014
2.	LR 9.2.2AR (2)(b)	R	LR 9.2.2AR (2)(b) does not apply.	From 16 May 2014 up to and including the date of the next annual general meeting of the <i>listed company</i> , other than an annual general meeting for which notice: (i) has already been given; or (ii) is given within a period of 3 months from the event that resulted in a <i>person</i> becoming a <i>controlling shareholder</i> of a <i>listed company</i> .	16 May 2014
3.	LR 9.2.2ER	R	LR 9.2.2ER does not apply.	From 16 May 2014 up to and including the date of the next annual general meeting of the <i>listed company</i> other than an annual general meeting for which notice: (i) has already been given; or (ii) is given within a period of 3 months from the event that re-	16 May 2014

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
4.	LR 9.2.21 R	R	Where a <i>listed company</i> is admitted to the <i>premium listing</i> category of the <i>official list</i> on or before 15 May 2014, LR 9.2.21 R does not apply.	sulted in a <i>person</i> becoming a <i>controlling shareholder</i> of a <i>listed company</i> . From 16 May 2014 up to and including 16 May 2016	16 May 2014
5.	LR 9.8.4C R	R	LR 9.8.4C R does not apply to a <i>listed company</i> with a financial year ending on or before 31 August 2014.	From 16 May 2014	16 May 2014
6.	LR 13.8.17 R	R	LR 13.8.17 R does not apply.	From 16 May 2014 up to and including 16 August 2014	16 May 2014

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LR TR 13

Transitional Provisions for the UK Corporate Governance Code

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
1.	LR 9.8.6R(3)	R	[expired]		
2.	LR 9.8.6R(5), LR 9.8.6R(6) and LR 15.6.6R(2)	R	[expired]		
3.	LR 9.8.10R	R	[expired]		
4.	LR 9.8.6R(3), LR 9.8.6R(5), LR 9.8.6R(6) and LR 15.6.6R(2)	R	In the case of an annual financial report of a <i>listed company</i> or a <i>closed-ended investment fund</i> incorporated in the <i>United Kingdom</i> for an accounting period ending on or before 16 June 2017, a reference to a Main Principle, principle or provision in the <i>UK Corporate Governance Code</i> must be read as a reference to a Main Principle, principle or provision in the UK Corporate Governance Code published by the Financial Reporting Council in September 2014.	From 13 September 2017 to 31 December 2017	13 September 2017
5.	LR 9.8.10R	R	<p>In the case of an annual financial report of a <i>listed company</i> or a <i>closed-ended investment fund</i> incorporated in the <i>United Kingdom</i> for an accounting period ending on or before 16 June 2017:</p> <p>(1)LR 9.8.10R does not apply; and</p> <p>(2)the <i>listed company</i> or <i>closed-ended investment fund</i> must ensure that the auditors review the following before the annual report is published:</p> <p>(a)LR 9.8.6R(3) (statements by the directors regarding going concern and longer-term viability); and(b) the parts of the statement required by LR 9.8.6R(6) (comply or explain) that relate to C.1.1, C.2.1 and C.2.3, and C.3.1 to C.3.8 of the UK Corporate Governance Code published by the Financial</p>	From 13 September 2017 to 31 December 2017	13 September 2017

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
			Reporting Council in September 2014.		

Listing Rules

Schedule 1 [to follow]

Sch 1
[to follow]

Listing Rules

Schedule 2 [to follow]

Sch 2
[to follow]

Listing Rules

Schedule 3 [to follow]

Sch 3
[to follow]

Listing Rules

Schedule 4 Powers exercised

Sch 4.1 G
[deleted]

Sch 4.2 G
[deleted]

Listing Rules

Schedule 5 [to follow]

Sch 5
[to follow]

Listing Rules

Schedule 6 Rules that can be waived

Sch 6.1 G

As a result of section 138A of the Act (Modification or waiver of rules) the *FCA* has power to waive all its *rules*, other than *rules* made under section 137O (Threshold condition code), section 247 (Trust scheme rules), section 248 (Scheme particular rules), section 261I (Contractual scheme rules) or section 261J (Contractual scheme particulars rules) of the *Act*. However, if the *rules* incorporate requirements laid down in European directives, it will not be possible for the *FCA* to grant a waiver that would be incompatible with the *United Kingdom's* responsibilities under those directives.

Sch 6.2 G

In addition section 82 (Exemptions from disclosure) of the *Act* provides the *FCA* with discretion to authorise omissions from disclosure requirements derived from the *Consolidated Admissions and Reporting Directive* in the circumstances specified in that section.

