

LISTING RULES SOURCEBOOK (AMENDMENT NO 9) INSTRUMENT 2013

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000:
- (1) section 73A (Part 6 Rules);
 - (2) section 75 (Applications for listing);
 - (3) section 79 (Listing particulars and other documents);
 - (4) section 80 (General duty of disclosure in listing particulars);
 - (5) section 81 (Supplementary listing particulars);
 - (6) section 88 (Sponsors); and
 - (7) section 96 (Obligations of issuers of listed securities).

Commencement

- B. This instrument comes into force on 1 May 2013.

Amendments to the Handbook

- C. The Listing Rules sourcebook (LR) is amended in accordance with the Annex to this instrument.

Citation

- D. This instrument may be cited as the Listing Rules Sourcebook (Amendment No 9) Instrument 2013.

By order of the Board
25 April 2013

Annex

Amendments to the Listing Rules sourcebook (LR)

In this Annex, underlining indicates new text and striking through indicates deleted text.

8.2 When a sponsor must be appointed or its guidance obtained

When a sponsor must be appointed

8.2.1 R A *company* with, or applying for, a *premium listing* of its *equity shares* must appoint a *sponsor* on each occasion that it:

(1) is required to submit any of the following documents to the *FCA* in connection with an application for *admission of equity shares to premium listing*:

(a) a *prospectus*, *supplementary prospectus* or *equivalent document*; or

...

(d) *listing particulars* referred to in *LR 15.3.3R* or *LR 16.3.4R* or *supplementary listing particulars*; or

...

...

18.2 Requirements for listing

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Additional requirements for a depositary

18.2.13 R ~~A depositary that issues certificates representing certain securities must be a suitably authorised and regulated financial institution acceptable to the FCA. [deleted]~~

18.2.14 R A *depositary* that issues *certificates representing certain securities* must ~~hold on trust (or under equivalent arrangements) for the sole benefit of the certificate holders~~ maintain adequate arrangements to safeguard certificate holders' rights to the securities to which the certificates relate, and to all rights relating to the securities and all money and benefits that it may receive in respect of them, subject only to payment of the remuneration and proper expenses of the *issuer* of the certificates.