

## Chapter 3

# Application, Notification and Vetting Fees



UKLA transaction fees

Category	Fee payable (£)
A1	0
A2	2,000
A3	5,000
A4	15,000
A5	20,000
A6	50,000

For the purposes of FEES 3 Annex 12R:

Category A1 includes:

- (a)applying for eligibility for *listing* of *securities* under ■ LR 17; or
- (b)applying for eligibility for *listing* of *miscellaneous securities* under ■ LR 20; or
- (c)applying for eligibility for *listing* of *equity shares* where ■ LR 6.1.1R(1) or (2) applies; or
- (ca)applying for eligibility for *listing* of *equity shares* where ■ LR 21.2.5R(1) or (2) applies; or
- (cb) applying for eligibility for *listing* of *certificates representing shares* where ■ LR 21.6.13R(1) or (2) applies; or
- (d)applying for approval as a *primary information provider*; or
- (e)applying for the approval of a material change to the published investment policy of a *closed-ended investment fund* under ■ LR 15.4.8R; 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 ■ LR 15; or
- (b)applying for eligibility for *listing of equity shares* under ■ LR 16A; 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 ■ LR 6; or
- (b)applying for eligibility for *listing of shares* under ■ LR 14; or
- (c)applying for eligibility for *listing of securities* representing certain *securities* under ■ LR 18; or
- (d)applying for eligibility for *listing of securities* under ■ LR 19; or
- (da)applying for eligibility for *listing of equity shares* under ■ LR 21; or
- (db)applying for eligibility for *listing of certificates representing shares* under ■ LR 21; or
- (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

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(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*.