



Financial Services and Markets Act 2000

2000 CHAPTER 8

PART VI

OFFICIAL LISTING

Miscellaneous

96 Obligations of issuers of listed securities.

- (1) Listing rules may—
 - (a) specify requirements to be complied with by issuers of listed securities; and
 - (b) make provision with respect to the action that may be taken by the [F¹FCA] in the event of non-compliance.
- (2) If the rules require an issuer to publish information, they may include provision authorising the [F¹FCA] to publish it in the event of his failure to do so.
- (3) This section applies whenever the listed securities were admitted to the official list.

Textual Amendments

- F1** Words in ss. 89A-97 substituted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by [Financial Services Act 2012 \(c. 21\)](#), [ss.16\(2\)\(3\)\(g\)](#), [122\(3\)](#) (with [Sch. 20](#)); [S.I. 2013/113](#), [art. 2\(1\)\(c\)](#), [Sch. Pt. 3](#); [S.I. 2013/423](#), [art. 3](#), [Sch.](#)

Modifications etc. (not altering text)

- C1** S. 96 applied by 2009 c. 1, s. 39B(2) (as inserted (1.1.2015) by [The Bank Recovery and Resolution Order 2014 \(S.I. 2014/3329\)](#), [arts. 1\(2\)](#), [39](#))
- C2** S. 96 applied by 2009 c. 1, s. 48L(6A) (as inserted (1.1.2015) by [The Bank Recovery and Resolution Order 2014 \(S.I. 2014/3329\)](#), [arts. 1\(2\)](#), [53\(6\)](#))

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F² 96A Disclosure of information requirements

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Textual Amendments

- F2** Ss. 96A-96C omitted (3.7.2016) by virtue of [The Financial Services and Markets Act 2000 \(Market Abuse\) Regulations 2016 \(S.I. 2016/680\)](#), regs. 1, **8(4)**

F² 96B [F³Disclosure rules: persons responsible for compliance]

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Textual Amendments

- F2** Ss. 96A-96C omitted (3.7.2016) by virtue of [The Financial Services and Markets Act 2000 \(Market Abuse\) Regulations 2016 \(S.I. 2016/680\)](#), regs. 1, **8(4)**
- F3** Words in s. 96B heading substituted (8.11.2006) by [Companies Act 2006 \(c. 46\)](#), ss. 1272, 1300(1)(a), **Sch. 15 para. 7(a)**

F² 96C Suspension of trading

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Textual Amendments

- F2** Ss. 96A-96C omitted (3.7.2016) by virtue of [The Financial Services and Markets Act 2000 \(Market Abuse\) Regulations 2016 \(S.I. 2016/680\)](#), regs. 1, **8(4)**

97 Appointment by [F¹FCA] of persons to carry out investigations.

(1) Subsection (2) applies if it appears to the [F¹FCA] that there are circumstances suggesting that—

[F⁴(a) there may have been a contravention of—

(i) a provision of this Part or of Part 6 rules, ^{F5} ... [F⁶or]

[F⁷(ii) any other provision of qualifying transparency legislation, [F⁸or]]

[F⁹(iii) [F¹⁰any provision of, or made in accordance with, the prospectus regulation;]]

(b) a person who was at the material time a director of a person mentioned in section 91(1), ^{F11} ... [F¹²[F¹³or (1A),] or section 91(1B) (ignoring paragraph (a) (i) of that provision),] has been knowingly concerned in a contravention by that person of—

(i) a provision of this Part or of Part 6 rules, ^{F14} ... [F¹⁵or]

[F¹⁶(ii) any other provision of qualifying transparency legislation, [F¹⁷or]]

[F¹⁸(iii) [F¹⁹any provision of, or made in accordance with, the prospectus regulation;]]]

[F²⁰(ba) a person who was at the material time a relevant officer of a person mentioned in section 91(1B) (ignoring paragraphs (a)(ii) and (b) of that provision) has

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been knowingly concerned in a contravention [^{F21}by that person of qualifying transparency legislation;]

^{F22}(c)
^{F23}(d)

(2) The [^{F1}FCA] may appoint one or more competent persons to conduct an investigation on its behalf.

(3) Part XI applies to an investigation under subsection (2) as if—

- (a) the investigator were appointed under section 167(1);
- (b) references to the investigating authority in relation to him were to the [^{F1}FCA];
- (c) [^{F24}references to the offences mentioned in section 168 were to [^{F25}the offences under section 85];]
- (d) references to an authorised person were references to the person under investigation.

[In this section “relevant officer” has the meaning given by section 91(2B).]
^{F26}(4)

Textual Amendments

- F1** Words in ss. 89A-97 substituted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by [Financial Services Act 2012 \(c. 21\)](#), [ss.16\(2\)\(3\)\(g\)](#), [122\(3\)](#) (with [Sch. 20](#)); [S.I. 2013/113](#), [art. 2\(1\)\(c\)](#), [Sch. Pt. 3](#); [S.I. 2013/423](#), [art. 3](#), [Sch.](#)
- F4** S. 97(1)(a)(b) substituted (8.11.2006) by [Companies Act 2006 \(c. 46\)](#), [ss. 1272](#), [1300\(1\)\(a\)](#), [Sch. 15 para. 8](#)
- F5** Word in s. 97(1)(a)(i) omitted (21.7.2019) by virtue of [The Financial Services and Markets Act 2000 \(Prospectus\) Regulations 2019 \(S.I. 2019/1043\)](#), [regs. 1\(1\)](#), [27\(2\)\(a\)](#) (with [reg. 40](#))
- F6** Word in s. 97(1)(a)(i) inserted (30.1.2024 for specified purposes) by [The Public Offers and Admissions to Trading Regulations 2024 \(S.I. 2024/105\)](#), [reg. 2\(2\)\(3\)](#), [Sch. 3 para. 10\(2\)\(a\)\(i\)](#) (with [regs. 48-50](#))
- F7** S. 97(1)(a)(ii) substituted (31.12.2020) by [S.I. 2019/707](#), [reg. 31\(a\)](#) (as substituted by [The Prospectus \(Amendment etc.\) \(EU Exit\) Regulations 2019 \(S.I. 2019/1234\)](#), [regs. 1\(3\)](#), [18](#) (with savings in [S.I. 2019/680](#), [reg. 11](#) (as amended by [S.I. 2019/1234](#), [reg. 29\(2\)\)](#)); [2020 c. 1](#), [Sch. 5 para. 1\(1\)](#))
- F8** Word in s. 97(1)(a)(ii) omitted (30.1.2024 for specified purposes) by virtue of [The Public Offers and Admissions to Trading Regulations 2024 \(S.I. 2024/105\)](#), [reg. 2\(2\)\(3\)](#), [Sch. 3 para. 10\(2\)\(a\)\(ii\)](#) (with [regs. 48-50](#))
- F9** S. 97(1)(a)(iii) inserted (21.7.2019) by [The Financial Services and Markets Act 2000 \(Prospectus\) Regulations 2019 \(S.I. 2019/1043\)](#), [regs. 1\(1\)](#), [27\(2\)\(c\)](#) (with [reg. 40](#))
- F10** S. 97(1)(a)(iii) omitted (30.1.2024 for specified purposes) by virtue of [The Public Offers and Admissions to Trading Regulations 2024 \(S.I. 2024/105\)](#), [reg. 2\(2\)\(3\)](#), [Sch. 3 para. 10\(2\)\(a\)\(iii\)](#) (with [regs. 48-50](#))
- F11** Word in s. 97(1)(b) omitted (3.7.2016) by virtue of [The Financial Services and Markets Act 2000 \(Market Abuse\) Regulations 2016 \(S.I. 2016/680\)](#), [regs. 1](#), [8\(5\)](#)
- F12** Words in s. 97(1)(b) substituted (26.11.2015) by [The Transparency Regulations 2015 \(S.I. 2015/1755\)](#), [regs. 1\(3\)](#), [4\(3\)\(a\)\(i\)](#)
- F13** Words in s. 97(1)(b) omitted (30.1.2024 for specified purposes) by virtue of [The Public Offers and Admissions to Trading Regulations 2024 \(S.I. 2024/105\)](#), [reg. 2\(2\)\(3\)](#), [Sch. 3 para. 10\(2\)\(b\)\(i\)](#) (with [regs. 48-50](#))
- F14** Word in s. 97(1)(b)(i) omitted (21.7.2019) by virtue of [The Financial Services and Markets Act 2000 \(Prospectus\) Regulations 2019 \(S.I. 2019/1043\)](#), [regs. 1\(1\)](#), [27\(3\)\(a\)](#) (with [reg. 40](#))
- F15** Word in s. 97(1)(b)(i) inserted (30.1.2024 for specified purposes) by [The Public Offers and Admissions to Trading Regulations 2024 \(S.I. 2024/105\)](#), [reg. 2\(2\)\(3\)](#), [Sch. 3 para. 10\(2\)\(b\)\(ii\)](#) (with [regs. 48-50](#))

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- F16** S. 97(1)(b)(ii) substituted (31.12.2020) by S.I. 2019/707, **reg. 31(b)** (as substituted by The Prospectus (Amendment etc.) (EU Exit) Regulations 2019 (S.I. 2019/1234), regs. 1(3), **18** (with savings in S.I. 2019/680, **reg. 11** (as amended by S.I. 2019/1234, **reg. 29(2))**); 2020 c. 1, **Sch. 5 para. 1(1)**)
- F17** Word in s. 97(1)(b)(ii) omitted (30.1.2024 for specified purposes) by virtue of The Public Offers and Admissions to Trading Regulations 2024 (S.I. 2024/105), reg. 2(2)(3), **Sch. 3 para. 10(2)(b)(iii)** (with regs. 48-50)
- F18** S. 97(1)(b)(iii) inserted (21.7.2019) by The Financial Services and Markets Act 2000 (Prospectus) Regulations 2019 (S.I. 2019/1043), regs. 1(1), **27(3)(c)** (with reg. 40)
- F19** S. 97(1)(b)(iii) omitted (30.1.2024 for specified purposes) by virtue of The Public Offers and Admissions to Trading Regulations 2024 (S.I. 2024/105), reg. 2(2)(3), **Sch. 3 para. 10(2)(b)(iv)** (with regs. 48-50)
- F20** S. 97(1)(ba) inserted (26.11.2015) by The Transparency Regulations 2015 (S.I. 2015/1755), regs. 1(3), **4(3)(a)(ii)**
- F21** Words in s. 97(1)(ba) substituted (31.12.2020) by The Official Listing of Securities, Prospectus and Transparency (Amendment etc.) (EU Exit) Regulations 2019 (S.I. 2019/707), regs. 1(2), **31(c)** (with savings in S.I. 2019/680, reg. 11 (as amended by S.I. 2019/1234, regs. 1(3), 29(2))); 2020 c. 1, Sch. 5 para. 1(1)
- F22** S. 97(1)(c) repealed (1.7.2005) by The Financial Services and Markets Act 2000 (Market Abuse) Regulations 2005 (S.I. 2005/381), regs. 1(2), 4, **Sch. 1 para. 7(c)**
- F23** S. 97(1)(d) omitted (21.7.2019) by virtue of The Financial Services and Markets Act 2000 (Prospectus) Regulations 2019 (S.I. 2019/1043), regs. 1(1), **27(4)** (with reg. 40)
- F24** S. 97(3)(c) omitted (30.1.2024 for specified purposes) by virtue of The Public Offers and Admissions to Trading Regulations 2024 (S.I. 2024/105), reg. 2(2)(3), **Sch. 3 para. 10(3)** (with regs. 48-50)
- F25** Words in s. 97(3)(c) substituted (21.7.2019) by The Financial Services and Markets Act 2000 (Prospectus) Regulations 2019 (S.I. 2019/1043), regs. 1(1), **27(5)** (with reg. 40)
- F26** S. 97(4) inserted (26.11.2015) by The Transparency Regulations 2015 (S.I. 2015/1755), regs. 1(3), **4(3)(b)**

[^{F27}][^{F28}]**97** Reporting of infringements

- (1) This section applies to a person—
- (a) who is the employer of any employees, and
 - (b) who—
 - (i) provides regulated financial services,
 - (ii) carries on regulated activities in reliance on the exemption in section 327, or
 - (iii) is a recognised investment exchange, a recognised clearing house, a recognised CSD ^{F29}... or a third country central counterparty.
- (2) The person must have in place appropriate internal procedures for the person’s employees to report, through an independent channel, contraventions and potential contraventions of—
- (a) the prospectus regulation, ^{F30}...
 - [^{F31}(b) any EU regulation, originally made under the prospectus regulation, which is [^{F32}assimilated] law, or
 - (c) any subordinate legislation (within the meaning of the Interpretation Act 1978) made under the prospectus regulation on or after IP completion day.]
- (3) In this section—
- “employer” and “employee” have the same meaning given in section 230(1) to (5) of the Employment Rights Act 1996;

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“regulated financial services” has the meaning given by section 1H.]]

Textual Amendments

- F27** S. 97A inserted (21.7.2019) by [The Financial Services and Markets Act 2000 \(Prospectus\) Regulations 2019 \(S.I. 2019/1043\)](#), reg. 1(1), **28** (with reg. 40)
- F28** S. 97A omitted (30.1.2024 for specified purposes) by virtue of [The Public Offers and Admissions to Trading Regulations 2024 \(S.I. 2024/105\)](#), reg. 2(2)(3), **Sch. 3 para. 11** (with regs. 48-50)
- F29** Words in s. 97A(1)(b)(iii) omitted (31.12.2020) by virtue of [The Prospectus \(Amendment etc.\) \(EU Exit\) Regulations 2019 \(S.I. 2019/1234\)](#), reg. 1(4), **7(2)** (with savings in S.I. 2019/680, reg. 11 (as amended by S.I. 2019/1234, reg. 29(2))); 2020 c. 1, Sch. 5 para. 1(1)
- F30** Word in s. 97A(2)(a) omitted (31.12.2020) by virtue of [The Prospectus \(Amendment etc.\) \(EU Exit\) Regulations 2019 \(S.I. 2019/1234\)](#), reg. 1(4), **7(3)(a)** (with savings in S.I. 2019/680, reg. 11 (as amended by S.I. 2019/1234, reg. 29(2))); 2020 c. 1, Sch. 5 para. 1(1)
- F31** S. 97A(2)(b)(c) substituted for s. 97A(2)(b) (31.12.2020) by [The Prospectus \(Amendment etc.\) \(EU Exit\) Regulations 2019 \(S.I. 2019/1234\)](#), reg. 1(4), **7(3)(b)** (as amended by S.I. 2020/1301, reg. 1, 3, **Sch. para. 48(a)**) (with savings in S.I. 2019/680, **reg. 11** (as amended by S.I. 2019/1234, **reg. 29(2)**)); 2020 c. 1, **Sch. 5 para. 1(1)**
- F32** Word in s. 97A(2)(b) substituted (1.1.2024) by [The Retained EU Law \(Revocation and Reform\) Act 2023 \(Consequential Amendment\) Regulations 2023 \(S.I. 2023/1424\)](#), reg. 1(2), **Sch. para. 44(2)(a)**

F3398 Advertisements etc. in connection with listing applications.

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Textual Amendments

- F33** S. 98 repealed (1.7.2005) by [The Prospectus Regulations 2005 \(S.I. 2005/1433\)](#), reg. 2(1), **Sch. 1 para. 9**

F3499 Fees.

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Textual Amendments

- F34** S. 99 omitted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by virtue of [Financial Services Act 2012 \(c. 21\)](#), **ss. 16(14)(c)**, 122(3) (with Sch. 20); S.I. 2013/113, art. 2(1)(c), Sch. Pt. 3; S.I. 2013/423, art. 3, Sch.

F35100 Penalties.

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Textual Amendments

- F35** S. 100 omitted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by virtue of [Financial Services Act 2012 \(c. 21\)](#), **ss. 16(14)(d)**, 122(3) (with Sch. 20); S.I. 2013/113, art. 2(1)(c), Sch. Pt. 3; S.I. 2013/423, art. 3, Sch.

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^{F36}100A Exercise of powers where UK is host member state

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Textual Amendments

- F36** S. 100A omitted (31.12.2020) by virtue of [The Official Listing of Securities, Prospectus and Transparency \(Amendment etc.\) \(EU Exit\) Regulations 2019 \(S.I. 2019/707\)](#), regs. 1(2), **32** (with savings in [S.I. 2019/680](#), reg. 11 (as amended by [S.I. 2019/1234](#), regs. 1(3), 29(2))); 2020 c. 1, Sch. 5 para. 1(1)

101 Listing rules: general provisions.

- ^{F37}(1)
- (2) [^{F38}Part 6 rules] may authorise the [^{F39}FCA] to dispense with or modify the application of the rules in particular cases and by reference to any circumstances.
- ^{F40}(3)
- ^{F40}(4)
- ^{F40}(5)
- ^{F40}(6)
- ^{F40}(7)
- ^{F40}(8)

Textual Amendments

- F37** S. 101(1) omitted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by virtue of [Financial Services Act 2012 \(c. 21\)](#), **ss. 16(14)(e)**, 122(3) (with [Sch. 20](#)); [S.I. 2013/113](#), art. 2(1)(c), [Sch. Pt. 3](#); [S.I. 2013/423](#), art. 3, [Sch.](#)
- F38** Words in s. 101(2) substituted (1.7.2005) by [The Financial Services and Markets Act 2000 \(Market Abuse\) Regulations 2005 \(S.I. 2005/381\)](#), regs. 1(2), 4, **Sch. 1 para. 10(a)**
- F39** Words in s. 101(2) substituted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by [Financial Services Act 2012 \(c. 21\)](#), **ss.16(2)(3)(h)**, 122(3) (with [Sch. 20](#)); [S.I. 2013/113](#), art. 2(1)(c), [Sch. Pt. 3](#); [S.I. 2013/423](#), art. 3, [Sch.](#)
- F40** S. 101(3)-(8) omitted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by virtue of [Financial Services Act 2012 \(c. 21\)](#), **ss. 16(14)(e)**, 122(3) (with [Sch. 20](#)); [S.I. 2013/113](#), art. 2(1)(c), [Sch. Pt. 3](#); [S.I. 2013/423](#), art. 3, [Sch.](#)

^{F41}102 Exemption from liability in damages.

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Textual Amendments

- F41** S. 102 omitted (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by virtue of [Financial Services Act 2012 \(c. 21\)](#), **ss. 16(14)(f)**, 122(3) (with [Sch. 20](#)); [S.I. 2013/113](#), art. 2(1)(c), [Sch. Pt. 3](#); [S.I. 2013/423](#), art. 3, [Sch.](#)

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Changes and effects yet to be applied to the whole Act associated Parts and Chapters:

- Act applied (with modifications) by [S.I. 2023/1347 reg. 8](#)
- Act power to apply conferred (temp. until 15.5.2039) by [2014 c. 21 s. 79\(4\)](#)
- Act power to apply conferred (temp. until 15.5.2039) by [2014 c. 21 s. 81\(10\)](#)

Whole provisions yet to be inserted into this Act (including any effects on those provisions):

- Pt. 17 Ch. 3B inserted by [2023 c. 29 s. 64\(3\)](#)
- Pt. 20C inserted by [2016 c. 14 s. 30\(3\)](#)
- s. 31(1)(aa) inserted by [2021 c. 22 s. 22\(2\)](#)
- s. 32A inserted by [2021 c. 22 s. 22\(3\)](#)
- s. 32A power to apply (with modifications) conferred by [2021 c. 22 s. 23\(10\)](#)
- s. 36A and cross-heading inserted by [2021 c. 22 s. 22\(4\)](#)
- s. 71J and cross-heading inserted by [2021 c. 22 Sch. 8 para. 4](#)
- s. 86(9A) inserted by [S.I. 2019/707 reg. 8\(9\)](#) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))
- s. 87A(11) inserted by [S.I. 2019/707 reg. 10\(5\)](#) (This amendment not applied to legislation.gov.uk. Reg. 10(4)(5) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 15(b))
- s. 124(10)(c)(i) word omitted by [S.I. 2019/310 reg. 5\(11\)\(b\)](#) (This amendment not applied to legislation.gov.uk. Reg. 5(11)(b) omitted immediately before IP completion day by virtue of S.I. 2020/1385, regs. 1(4), 51(2)(e))
- s. 129(7)(a) word inserted by [S.I. 2019/310 reg. 5\(12\)\(a\)\(i\)](#) (This amendment not applied to legislation.gov.uk. Reg. 5(12)(a)(b) omitted immediately before IP completion day by virtue of S.I. 2020/1385, regs. 1(4), 51(2)(f))
- s. 129(7)(c) omitted and word by [S.I. 2019/310 reg. 5\(12\)\(a\)\(ii\)](#) (This amendment not applied to legislation.gov.uk. Reg. 5(12)(a)(b) omitted immediately before IP completion day by virtue of S.I. 2020/1385, regs. 1(4), 51(2)(f))
- s. 214(5A) inserted by [2021 c. 22 Sch. 8 para. 8](#)
- s. 261E(A1) inserted by [2023 c. 29 s. 64\(2\)\(a\)](#)
- s. 367A inserted by [2021 c. 22 Sch. 8 para. 10](#)
- s. 395(13)(h)(i) inserted by [2021 c. 22 Sch. 8 para. 12\(2\)\(c\)](#)
- s. 395(13)(bc)-(be) word inserted by [2021 c. 22 Sch. 8 para. 12\(2\)\(b\)](#)
- s. 395(14) inserted by [2021 c. 22 Sch. 8 para. 12\(3\)](#)
- s. 427A(3) words substituted by [2002 c. 40 Sch. 17 para. 59](#) (This amendment not applied to legislation.gov.uk. The Financial Services and Markets Act 2000 does not contain a section 427A.)
- Sch. 1ZA para. 32(c) and word inserted by [2021 c. 22 Sch. 8 para. 18](#)
- Sch. 2A para. 19(2)(b)(iia) inserted by [2023 c. 29 Sch. 10 para. 19\(a\)](#)
- Sch. 2A2B power to apply (with modifications) conferred by [2021 c. 22 s. 23\(10\)](#)
- Sch. 2A power to apply (with modifications) conferred by [2021 c. 22 s. 23\(10\)](#)
- Sch. 2B inserted by [2021 c. 22 Sch. 7](#)
- Sch. 2B power to apply (with modifications) conferred by [2021 c. 22 s. 23\(10\)](#)
- Sch. 11A para. 5(3) inserted by [S.I. 2019/707 reg. 38\(5\)\(b\)](#) (This amendment not applied to legislation.gov.uk. Reg. 38(2)-(5)(7)(8) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 20)

- Sch. 17A para. 12 words substituted by [S.I. 2019/662 reg. 13\(1\)](#) (This amendment not applied to [legislation.gov.uk](#). Reg. 13(1) substituted (25.6.2020) by S.I. 2020/646, regs. 1(2)(c), 11(3))