
STATUTORY INSTRUMENTS

2019 No. 707

EXITING THE EUROPEAN UNION FINANCIAL SERVICES AND MARKETS

**The Official Listing of Securities, Prospectus and
Transparency (Amendment etc.) (EU Exit) Regulations 2019**

*Made - - - - 27th March 2019
Coming into force in accordance with
regulation 1(2)*

THE OFFICIAL LISTING OF SECURITIES, PROSPECTUS AND TRANSPARENCY (AMENDMENT ETC.) (EU EXIT) REGULATIONS 2019

PART 1

General

1. Citation and commencement
2. Interpretation

PART 2

Amendments of primary legislation

CHAPTER 1

The Financial Services and Markets Act 2000

3. Introduction
4. Part 6 rules
5. Applications for listing
6. Matters which may be dealt with by prospectus rules
7. Prohibition of dealing etc in transferable securities without approved prospectus
8. Exempt offers to the public
9. Election to have prospectus
10. Criteria for approval of prospectus by FCA
11. Procedure for decision on application for approval

Changes to legislation: The Official Listing of Securities, Prospectus and Transparency (Amendment etc.) (EU Exit) Regulations 2019 is up to date with all changes known to be in force on or before 07 January 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

12. Repeal of sections 87E and 87F
13. Repeal of section 87FB
14. Repeal of sections 87H and 87I
15. Power to suspend or prohibit offer to the public
16. Power to suspend or prohibit admission to trading on a regulated market
17. Public censure of issuer
18. Repeal of section 87P
19. Transparency rules
20. Provision of voteholder information
21. Provision of information by issuers of transferable securities
22. Notification of voting rights held by issuer
23. Transparency rules: interpretation etc
24. Public censure of issuer
25. Power to suspend or prohibit trading of securities
26. Voting rights suspension orders
27. Corporate governance rules
28. Storage of regulated information
29. Liability for key investor information
30. Penalties for breach of Part 6 rules
31. Appointment by FCA of persons to carry out investigations
32. Repeal of section 100A
33. Meaning of “securities” etc.
34. Meaning of “offer of transferable securities to the public” etc.
35. Repeal of section 102C
36. Interpretation of Part 6 of FSMA 2000
37. Liability of issuers in connection with published information
38. Transferable securities excluded from certain provisions of section 85 of FSMA 2000

CHAPTER 2

The Companies Act 2006

39. Repeal of section 1273 of the Companies Act 2006

PART 3

Amendments of EU Regulations and EU Decision

CHAPTER 1

Amendments of Commission Regulation (EC) No. 809/2004

40. ...
41. Subject-matter of Regulation
42. Definitions
43. Categories of information in the base prospectus and the final terms
44. Minimum information to be included in a prospectus
45. Share registration document schedule
46. Share registration document in cases of complex financial history or significant financial commitment
47. Securities note schedule for certain debt securities
48. Guarantees building block
49. Banks registration document schedule

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50. Securities note schedule for certain debt securities
51. Additional information building block on the underlying share
52. Registration document schedule for collective investment undertakings of closed-end type
53. Registration document schedule for States and regional and local authorities
54. Additional building block for consent given in accordance with Article 3(2) of Directive 2003/71/EC
55. Minimum information to be included in a base prospectus and its related final terms
56. Adaptations to minimum information given in prospectuses and base prospectuses
57. Content of the summary etc.
58. Format of the prospectus
59. Format of base prospectus and its related final terms
60. Proportionate schedule for rights issues
61. Proportionate schedules for small and medium-sized enterprises etc.
62. Proportionate requirements for issues by certain credit institutions
63. Arrangements for incorporation by reference
64. Historical financial information
65. Omission of Article 36
66. Amendments of Annexes

CHAPTER 2

Amendments of other EU Regulations and of EU Decision

67. Commission Regulation (EC) No 1569/2007
68. Commission Decision (EC) No 2008/961
69. European Parliament and Council Regulation (EU) 2017/1129

PART 4

Transfer of directive functions to the Treasury or the FCA

70. Interpretation of Schedule 2
71. Transfer of directive functions to the Treasury
72. Transfer of directive functions to the FCA

PART 5

Transitional provision

73. Prospectus approved before 21st July 2019 by competent authority of other EEA state
Signature

SCHEDULE 1 — Amendments of Annexes to Commission Regulation (EC) No 809/2004

1. (1) Annex 1 is amended as follows.
2. In Annex 4, in item 13.1— (a) in the first...
3. (1) Annex 7 is amended as follows.
4. In Annex 9, in item 11.1— (a) in the first...
5. (1) Annex 10 is amended as follows.

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6. In Annex 11, in item 11.1— (a) in the first...
7. In Annex 15, in item 2.9, omit “Member”, in the first...
8. In Annex 16, in the heading, for “Member States, third...
9. In Annex 21, for “as referred to in recital 18...
10. (1) Annex 22 is amended as follows.
11. (1) Annex 23 is amended as follows.
12. (1) Annex 25 is amended as follows.
13. In Annex 26, in item 13.1— (a) in the first...
14. In Annex 27, in item 11.1— (a) in the first...
15. (1) Annex 28 is amended as follows.
16. (1) Annex 29 is amended as follows.

SCHEDULE 2 — Transfer of functions to the Treasury and the FCA

PART 1 — Interpretation

1. In this Schedule— ... “the Disclosure Guidance and Transparency...

PART 2 — Directive functions transferred to the Treasury

2. The following purposes are specified for the purposes of regulation...
3. In order to take account of developments on financial markets,...
4. In order to take account of developments on financial markets,...
5. In order to take account of developments on financial markets,...
6. In order to take account of developments on financial markets,...
7. In order to take account of developments on financial markets,...
8. In order to take account of developments on financial markets,...
9. In order to take account of developments on financial markets,...
10. To establish for the purposes of transparency rules an indicative...
11. In order to take account of developments on financial markets,...
12. In order to take account of developments on financial markets,...
13. In order to take account of developments on financial markets,...
14. In order to take account of developments on financial markets,...
15. To clarify the conditions of independence to be complied with...
16. To specify the contents of the notification to be made,...
17. In order to take account of developments on financial markets,...
18. In order to take account of developments on financial markets...
19. To specify the minimum standards for— (a) the dissemination of...
20. To establish general criteria for the purposes of section 89A(4A)...

PART 3 — Directive functions transferred to FCA

21. The following purposes are specified for the purposes of regulation...
22. To make provision about the exemptions from the obligation to...
23. To make provision about the exemptions from the obligation to...
24. To make provision about the exemptions from the obligation to...
25. To make provision about the exemptions from the obligation to...
26. To make provision about the exemptions from the obligation to...
27. To make provision about the exemptions from the obligation to...
28. To make provision about the exemptions from the obligation to...
29. To make provision about the exemptions from the obligation to...
30. To make provision about the exemptions from the obligation to...
31. To specify the electronic reporting format for annual financial reports...
32. To specify the method of calculating any percentage threshold applying...
33. To establish standard forms, templates and procedures to be used...
34. To specify for the purposes of rule 5.3.3A of the...
35. To specify the cases in which the exemptions laid down...

Explanatory Note

Changes to legislation:

The Official Listing of Securities, Prospectus and Transparency (Amendment etc.) (EU Exit) Regulations 2019 is up to date with all changes known to be in force on or before 07 January 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations.

[View outstanding changes](#)

Changes and effects yet to be applied to :

- Sch. 1 para. 1 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 2 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 3 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 4 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 5 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 6 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 7 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 8 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 9 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 10 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 11 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 12 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 13 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 14 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 15 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 1 para. 16 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 1 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 24)
- Sch. 2 para. 3 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 3-9 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(3))
- Sch. 2 para. 4 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 3-9 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(3))
- Sch. 2 para. 5 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 3-9 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(3))
- Sch. 2 para. 6 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 3-9 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(3))
- Sch. 2 para. 7 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 3-9 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(3))
- Sch. 2 para. 8 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 3-9 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(3))
- Sch. 2 para. 9 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 3-9 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(3))
- Sch. 2 para. 22 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, Sch. 2 paras. 22-30 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 25(4))

- [illegible]

- reg. 50 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 51 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 52 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 53 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 54 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 55 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 56 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 57 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 58 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 59 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 60 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 61 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 62 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 63 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 64 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 65 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 66 coming into force by [S.I. 2019/707 reg. 1\(2\)](#) (S.I. 2019/707, regs. 40-66 omitted before coming into force by S.I. 2019/1234, regs. 1(2), 21)
- reg. 69 words substituted by [S.I. 2019/1370 reg. 4](#) (This amendment not applied to [legislation.gov.uk](#). The affecting statutory instrument has no legal effect. It was made under a procedure which meant that it ceased to have effect 28 days after signing unless it was debated and approved in Parliament within that time. It was not debated and approved within 28 days, so it has expired with no effect.)