**A. Applicant information**

**Name of applicant**

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**Trading name (if different)**

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**Address**

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|  | **Postcode** |
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| **Tel:** |  |

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**Italicised terms in this form have the meaning given to them in the UK Listing Rulessourcebook.**

1. **Legal status of *applicant* (e.g. public limited company, private limited company, limited liability partnership, etc.)**

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1. **Place and date of incorporation or formation**

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1. **Primary contact for the purposes of this application**

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| **Name:** | **Position:** |
| **Email:** | **Tel:** |

**B. Criteria for approval**

***UKLR* 24.4.5R(1) – *authorised person* or *member* of a *designated professional body***

*Details provided should be for the corporate person seeking approval as sponsor only and should include full name of authorised person, authorisation number and nature of authorisation(s) granted. Where an applicant is seeking to rely on the membership of a designated professional body to satisfy UKLR 24.4.5R(1), please provide details of the body of which the applicant is a member and provide brief details in relation to the corporate person’s membership as requested below).*

1. **Is the *applicant*:**

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| *authorised* under the Financial Services and Markets Act 2000 (the *Act*)? | **Yes** | **No** |
| If yes, please provide the firm’s reference number |  |

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| If no, is the applicant a *member* of a *designated professional body*? | **Yes** | **No** |
| If yes, please provide details of the relevant body and reference number: |  |

**If *authorised* under the *Act*, please indicate which *regulated activities* the *person* applying for approval as a *sponsor* has been grantedunder its *Part* 4A *permission.* Please also include details of any regulatory intervention, criticism or disciplinary action in relation to these permissions or, where relying on membership of a *designated professional body*, any similar actions taken by that body.**

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***UKLR* 24.4.5R(2) – competent to provide *sponsor services* in accordance with *UKLR* 24**

*The following paragraphs set out the requirements of UKLR 24.4.12R as applied by the FCA pursuant to guidance set out in UKLR 24.4.13G – UKLR 24.4.20G. Should an applicant wish to evidence its ability to comply with UKLR 24.4.5R(2) otherwise, please provide any relevant additional information on a separate sheet to be submitted with this form.*

***For further guidance on the application of UKLR 24.4.12R, please refer to the following technical notes on the FCA Knowledge Base: TN714, TN715 ( see*** [Knowledge Base | FCA](https://eur01.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.fca.org.uk%2Fmarkets%2Fprimary-markets%2Fknowledge-base&data=05%7C02%7CAndrew.Perkin%40fca.org.uk%7C04e3f5a7216e4c76d1e508dc651f568e%7C551f9db3821c44578551b43423dce661%7C1%7C0%7C638496432560674721%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C0%7C%7C%7C&sdata=7gYyiAobzyHBQw7Vqn5Ens2qrNMpeTQ7hR2rfYJXQcI%3D&reserved=0)***) prior to completing this section of the form.***

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| 1. Does the *applicant* wish to apply for approval as a *sponsor* subject to a restriction or limitation?
 | **Yes** | **No** |
| If yes, please specify the nature of the proposed restriction of limitation to be applied, having regard to *UKLR* 24.4.9G. |  |
| 1. Has the *applicant* been approved as a *sponsor* in the last five years[[1]](#footnote-2)?
 | **Yes** | **No** |
| If yes, please provide details of any previous approval, including name of *person* approved and applicable dates of approval. |  |

1. If answering yes to B3, please provide details of *sponsor declarations* submitted to the *FCA* in the last five years

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| *(Please provide a list of transactions on which a sponsor declaration was submitted to the FCA within the five years preceding the date of this form. Transactions requiring a sponsor declaration should include applications for admission of equity shares to listing accompanied by a prospectus submitted for FCA approval or equivalent; transactions requiring a circular to be submitted to the FCA for approval in relation to (a) a class 1 transaction; (b) restructuring or refinancing; or (c) a purchase of own shares requiring inclusion of a working capital statement.)* |
|

| **Date of *sponsor service****(e.g. document approval date, date of confirmation)* | **Name of *issuer*** | **Description of transaction** | **Core team** *(please denote any key contact by use of an asterisk (\*))*  | **Completed** *(Y/N)* | **Joint sponsor** *(If the firm acted as a joint sponsor, please identify other sponsors)* |
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1. If answering no to B3, but relying on *UKLR* 24.4.14G, please provide details of *sponsor declarations* relevant to *employees* of the *applicant* in accordance with *UKLR* 24.4.14G

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| *(Please provide a list of transactions on which a sponsor declaration was submitted to the FCA (by a current employee of the applicant who had a material involvement in the provision of the sponsor service) within the five years preceding the date of this form. Transactions requiring a sponsor declaration should include applications for admission of equity shares to listing accompanied by a prospectus submitted for FCA approval or equivalent; transactions requiring a circular to be submitted to the FCA for approval in relation to (a) a class 1 transaction; (b) restructuring or refinancing; or (c) a purchase of own shares requiring inclusion of a working capital statement. For further guidance if relying on UKLR 24.4.14G, please refer to the following technical note on the FCA Knowledge Base:TN715* [Knowledge Base | FCA](https://eur01.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.fca.org.uk%2Fmarkets%2Fprimary-markets%2Fknowledge-base&data=05%7C02%7CAndrew.Perkin%40fca.org.uk%7C04e3f5a7216e4c76d1e508dc651f568e%7C551f9db3821c44578551b43423dce661%7C1%7C0%7C638496432560674721%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C0%7C%7C%7C&sdata=7gYyiAobzyHBQw7Vqn5Ens2qrNMpeTQ7hR2rfYJXQcI%3D&reserved=0) |
|

| **Date of *sponsor service****(e.g. document approval date, date of confirmation)* | **Name of *issuer*** | **Description of *sponsor service*** *(to include type of sponsor declaration provided)* | **Name of *employee* with material involvement in *sponsor service*** | **Description of involvement /role of *employee* in *sponsor service*** | **Completed** *(Y/N)* | **Name of *sponsor*** *(If the firm acted as a joint sponsor, please also identify the other sponsors)* |
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1. If answering no to B3 but relying on *UKLR* 24.4.12R(1)(b), please provide details of relevant corporate finance advisory services provided within the previous five years in accordance with *UKLR* 24.4.12R(1)(b)

| **Date of corporate advisory *service****(e.g. document approval date, date of completion)* | **Name of *issuer*** | **Description of transaction including how the transaction provides evidence to support the application by reference to *UKLR* 24.4.16G**  | **Market capitalisation of issuer at date of corporate advisory service** | **Core team**  | **Completed** *(Y/N)* | **Joint advisor***(If the firm acted as a joint advisor, please identify other corporate advisors)* |
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*Prior to completing paragraphs 7-13 below, please refer to the following technical note on the FCA Knowledge Base:TN714* [Knowledge Base | FCA](https://eur01.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.fca.org.uk%2Fmarkets%2Fprimary-markets%2Fknowledge-base&data=05%7C02%7CAndrew.Perkin%40fca.org.uk%7C04e3f5a7216e4c76d1e508dc651f568e%7C551f9db3821c44578551b43423dce661%7C1%7C0%7C638496432560674721%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C0%7C%7C%7C&sdata=7gYyiAobzyHBQw7Vqn5Ens2qrNMpeTQ7hR2rfYJXQcI%3D&reserved=0)*. Should your application be limited to providing sponsor services to certain specialist industry sectors and/or types of company, paragraph 5 of the technical note should be considered.*

1. **Sufficient number of *employees* with the skills and knowledge for the *applicant* to provide *sponsor services* in accordance with *UKLR* 24.2**

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| *(Please provide an overview of how the sponsor function will be resourced, including details of staff and areas of the business to be utilised in providing sponsor services. In particular, please consider the following:** *whether the number of staff within the organisation allocated to the provision of sponsor services will be sufficient resource for the expected pipeline of transactions to be conducted to a professional standard of care;*
* *whether staff have sufficient skills and knowledge to identify and communicate UKLR and DTR obligations to directors of listed issuers;*
* *whether the structure of the function will allow staff to conduct an open and co-operative relationship with the FCA; and*
* *whether the staffing model for the sponsor function will allow the applicant to identify and manage any potential conflicts of interest in order to allow them to act for current and potential clients.*

*Cross references to other parts of this form are permitted*.) |
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1. **Sufficient number of *employees* with the skills and knowledge for the *applicant* to understand the *rules and guidance* directly relevant to *sponsor services***

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| *(Please provide details of the area of the business or identified staff to be relied on to demonstrate compliance with this requirement and an indication of how the applicant is able to demonstrate the skills and knowledge required, including transactional and advisory experience as well as any relevant training or other resource).*  |
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1. **Sufficient number of *employees* with the skills and knowledge for the *applicant* to understand the procedural requirements and processes of the *FCA***

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| *(Please provide details of the area of the business or identified staff which the applicant will rely on to demonstrate compliance with this requirement and an indication of how the applicant is able to demonstrate the skills and knowledge required, including transactional and advisory experience as well as any relevant training or other resource)*  |
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1. **Sufficient number of *employees* with the skills and knowledge for the *applicant* to understand the due diligence process required in order to provide *sponsor services* in accordance with *UKLR* 24.2 and *UKLR* 24.3**

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| *(Please provide details of the area of the business and/or identified staff on which the applicant is intending to rely in order to demonstrate compliance with this requirement and an indication of how the applicant is able to demonstrate the skills and knowledge required, including transactional and advisory experience as well as any relevant training or other resource).* [*N.B. applicants may wish to consider experience gained not only on sponsor services but also transactions carried out for clients which required similar processes to be carried out in order to meet equivalent regulatory or other legal requirements.]* |
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1. **Sufficient number of *employees* with the skills and knowledge for the *applicant* to understand the responsibilities and obligations of a *sponsor* set out in *UKLR* 24**

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| *(Please provide details of the area of the business or identified staff on which the applicant intends to rely in order to demonstrate compliance with this requirement and an indication of how the applicant is able to demonstrate the skills, knowledge and expertise required, including transactional and advisory experience as well as any relevant training or other resource.)*  |
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1. **Sufficient number of *employees* with the skills and knowledge for it to understand specialist industry sectors and/or certain types of company, if relevant to the *sponsor services* it provides or intends to provide**

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| *(Please identify any relevant specialist industry sectors, or types of company, in or to which the firm intends to provide sponsor services. If not relevant, please state. Please also provide details of the area of the business or identified staff which the applicant will rely on to demonstrate compliance with this requirement in relation to each identified sector or type of company and an indication of how the applicant is able to demonstrate the skills and knowledge required, including transactional and advisory experience as well as any relevant training or other resource.) [N.B. if applying for approval which is limited to a specialist sector or type of company, please note here any other relevant information that has not already been set out in your responses to paragraphs 7-11 above.]* |
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1. **Sufficient number of *employees* with the skills and knowledge to be able to comply with the key contact requirements in *UKLR* 24.4.28R**

*[N.B. The FCA expects a person seeking approval as a sponsor to have no fewer than two employees who are able to satisfy the requirements of*

*UKLR 24.4.28R (UKLR 24.4.19G). Applicants are also expected to consider the factors set out in UKLR 24.4.13G when considering whether they have sufficient numbers of employees to meet these requirements. Therefore, applicants should include all employees they expect to be able to act as a key contact on sponsor services in the next 12 months in this section of the form.]*

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| **Name of *employee*** | **Position/role of *employee*** | **Basis for selection as key contact***(include brief explanation as to how each employee meets the requirements of UKLR 24.4.28R(2)(c) to (e).)* |
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***UKLR* 24.4.5R(3) – has appropriate systems and controls in place to carry out the role of *sponsor* in accordance with *UKLR* 24**

*The following section of the form requires details of how the applicant intends to demonstrate appropriate systems and controls as required by UKLR 24.4.5R(3). UKLR 24.4.21R highlights the systems and controls necessary to satisfy UKLR 24.4.5R(3). Guidance on what will generally be accepted as compliance with this requirement is set out in UKLR 24.4.22G, UKLR 24.4.23G, UKLR 24.4.25R, UKLR 24.4.26G and UKLR 24.4.27G.*

*Regard should be had to the factors set out in UKLR 24.4.22G when considering the efficacy of any procedural arrangements being put in place to comply with UKLR 24.4.21R and UKLR 24.4.23G and UKLR 24.2.14R. When completing this form please consider how the applicant will take account of these factors.*

*Please also include with your application form a copy of any relevant written procedures and/or compliance manual(s) to be used by employees carrying out sponsor services. Cross references to these documents may be made to demonstrate compliance with this requirement however this section of the form should further explain how the applicant will be applying existing systems and controls set out therein to comply with the requirements of UKLR 24. Please provide details of any review, or intended review, of these procedures and/or manuals.*

1. **Describe the systems and controls that are in place for the supervision of *employees* who will be performing *sponsor services* (*UKLR* 24.4.21R(2)). Please indicate what reporting lines will be in place (including clear and effective management responsibilities) to address the requirements of *UKLR* 24.4.21R(1). Where relevant, please include details of any committee or other executive function which will be put in place to manage any aspect of the provision of *sponsor services*.**

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1. **Please identify those individuals who will have management responsibility for the provision of *sponsor services*. Please describe the systems and controls that are in place to enable those *employees* to understand and apply the requirements of *UKLR* 24. (*UKLR* 24.4.21R(2))**

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1. **Please provide details below of the systems and controls that will be in place to enable the *applicant* to comply with all applicable *listing rules* at all times and when performing *sponsor services* (*UKLR* 24.4.21R(4)).**

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1. **Please provide details of any applicable staffing arrangements that will be in place for the provision of *sponsor services* in accordance with the principles for *sponsors* set out in *UKLR* 24.2 (*UKLR* 24.4.21R(5)). When completing this section, particular regard should be had to the nature of business being undertaken and the volume and size of transactions due to be undertaken by the *applicant*. Details on any staffing policies for transactions/clients should be included here**.

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1. **Please provide details of the systems and controls the *applicant* has or will put in place to allow employees engaged in *sponsor services* to receive appropriate guidance and training (*UKLR* 24.4.21R(6)). Responses should explain how any such arrangements address the requirements of *UKLR* 24.2**

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1. **Please provide details of the systems and controls the *applicant* has or will put in place to enable it to demonstrate compliance with each of the requirements in *UKLR* 24.4.12R(2)(b) (*UKLR* 24.4.21R(8)).**

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1. **Please describe the systems and controls that will be in place to identify and manage conflicts of interest in relation to *sponsor services* (*UKLR* 24.4.21R(7)). In responding, please consider the guidance provided in *UKLR* 24.4.23G.**

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1. **Describe the systems and controls that will be in place to create and retain accessible records for 6 years which are sufficient to be capable of demonstrating that the *sponsor* has provided *sponsor services* and otherwise complied with its obligations under *UKLR* 24 (*UKLR* 24.4.25R – *UKLR* 24.4.27G).**

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**C. Other information**

**The information in this section is requested in order to allow us to consider the current and expected corporate advisory business of the person applying for approval as a sponsor.**

1. **Please describe the applicant’s current business and reasons for applying to be a sponsor.**

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1. **Please describe your firm’s target market sector(s) and target size of *issuer(s*) for the provision of corporate advisory services including *sponsor services.* Please describe the types of *sponsor services* that the applicant intends to perform (e.g. offers of securities, corporate M&A activity, etc.)**

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1. **Please provide a list of *listed companies* and other companies admitted to trading on a *UK RIE* or a market established under the rules of a *UK RIE*, who are existing clients of your firm. Please include details of the nature of the relationship with each client (e.g. sponsor, corporate broker, financial adviser).**

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1. **Please provide brief details of the *employee(s)* who will be responsible for the management of *sponsor services* by the applicant. Please also provide a brief CV for each person in section C4 below.**

(*Employees* of the *applicant* included in section C4(a) are expected to be those *persons* who are *employees* with management responsibilities for the provision of *sponsor services* as referred to in *UKLR* 24.4.21R(2). To the extent that responsibility for compliance with *UKLR* 24 is overseen by another *employee*, they should be identified in section C4(b) below – otherwise please insert details of the *applicant’s* *sponsor service* compliance officer who will oversee the provision of *sponsor declarations* to the *FCA*.)

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| **(a) Person(s) with management responsibility for *sponsor services***  | **(b) Person(s) with responsibility for compliance with *UKLR* 24**  |
| Name  | Name  |
| Position  | Position  |
| Telephone/Email | Telephone/Email |

1. **Please include an organisational chart showing *employees* who will be carrying out *sponsor services*, including details of all roles/positions and reporting lines. Please include details of any ancillary or supporting functions.**

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| 1. **State the number of *employees* who will be involved in the provision of *sponsor* *services* excluding administrative *employees*.**
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1. **Please include brief details of the core team expected to provide *sponsor services* in the table below. In addition, please submit a detailed CV for each *employee*, highlighting any prior experience of providing *sponsor services*.** **Where the firm is relying on satisfying *UKLR* 24.4.12R(1)(b), please include details in the CVs that provide evidence of the employee’s contribution to the factors outlined in *UKLR* 24.4.16G.** (Where an *employee* has been identified in paragraph B13 as able to satisfy the requirements of *UKLR* 24.4.28R, please identify these individuals by using **bold text**.)

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| **Name** | **Position** | **Role/function/committee position/etc** |  | **Length of service** |
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1. **Where not already included in B6 above, please provide details of relevant corporate finance experience performed by the *applicant* over the last 5 years (other than prior experience of providing *sponsor services* requiring a *sponsor declaration* as set out above in paragraph B4). Where the firm is relying on satisfying *UKLR* 24.4.12R(1)(b), please include details that provide evidence of the firm’s demonstration of the factors outlined in *UKLR* 24.4.16G.**

*(Please include sufficient information in relation to the nature of the appointment to provide a sense of the type of work (including size of transaction, sector etc) typically performed by the applicant. Other relevant experience may include experience of providing corporate finance services; guidance or advice provided to a listed company or new applicant or other client on the listing rules, the prospectus regulation rules and/or disclosure requirements and the transparency rules in circumstances other than in providing sponsor services; performing the role of a Nominated Advisor or advising boards of public companies on the Takeover Code. An example has been provided on the form to assist you: please delete this before submitting the application.)*

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| **Transaction/client** | **Market capitalisation at appointment** | **Nature of appointment, market and details of services provided** | **Date** |
| *Public Company PLC* | *£42.5m* | *Acted as financial adviser and bookrunner on PLC's admission to the Official List. The firm took sole responsibility for providing advice under the Listing Rules and Prospectus Rules, liaising with the FCA and the verification of statements made in the prospectus* | *June 20XX* |
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| 1. **Is there any other information that may be relevant to the *FCA* in considering this application? If yes, please give details below.**
 | **Yes** | **No** |
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1. **As required under *UKLR* 24.4.2R (2), please provide details of any matter in the last five years that would have been notifiable to the *FCA* pursuant to *UKLR* 24.5.12R (2), (3), (4) or (5), had the person been approved as a *sponsor*. Please include the date of the matter being disclosed, its nature and the matter’s relevance to the *applicant* and/or its *employee*(s).**
2. **Please check that you have included with this form:**
* A copy of any applicable compliance manual or other written procedures referred to in section B above;
* An organogram as required by section C5 above;
* Any CVs for employees named in section C4 or C7 above;
* Any other documentation which has been cross-referred to in this form; and
* Confirmation that you have paid the application fee as required by *FEES* 3.2.7R. For methods of payment see *FEES* 2.1.12R.
1. **Data Protection Act disclosure**

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to the *FCA* will be used by the *FCA* to discharge its statutory functions under the *Act* and other relevant legislation and that it may be disclosed to third parties for those purposes.

1. **Monitoring of *sponsors* under *UKLR* 24**

Please note that the *FCA* will be evaluating and recording the performance of *sponsors* through communications between its *employees* and the *FCA*. This information will be used in assessing the ongoing ability of the *sponsor* to comply with *UKLR* 24.4.10R and will form part of any assessment of a *sponsor's* ability to comply with *UKLR* 24.4.12R. Information submitted in relation to this application may also be passed to other regulators to enable them to discharge their functions (see *UKLR* 24.5.8G).

**D. Declaration by officers of the applicant**

I am/we are authorised to make this application for approval as a *sponsor* on behalf of the *applicant* named in Section A.

I/We confirm that the information in this application is complete and correct to the best of my/our knowledge and belief. I/We understand that I/we may be liable to prosecution should I/we be found to have given false or misleading information, either knowingly or recklessly.

I/We have read *UKLR* 24 and believe that the *applicant* satisfies the criteria for approval as a *sponsor* set out in *UKLR* 24.4.5R.

I/We confirm that the *applicant* has appropriate systems and controls in place to ensure that it can carry out the role of *sponsor* in compliance with the Principles for *sponsors* as set out in *UKLR* 24.4.

I/We authorise the *FCA* to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form.

I/We will notify the *FCA* immediately of any significant change to the information given on this form or accompanying documents.

I/We understand that the *FCA* may require me/us to provide further information or documents at any time after I/we have sent the application and before the *applicant* has been approved as a *sponsor*,

[This declaration must be signed by two *directors* of the applicant, or, in the case of a *partnership*, by two *partners*. One should have management responsibility for the provision of *sponsor services*; the other should have responsibility for compliance by the applicant with *UKLR* 24.]

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| --- |
| **Name in block capitals Date** |
| **Position**  |
| **Signature**  |

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| **Name in block capitals Date** |
| **Position**  |
| **Signature**  |

**Please return this form to:**

**Primary Market Specialist Supervision Team**

**Primary Market Oversight**

**Financial Conduct Authority**

**12 Endeavour Square**

**London E20 1JN**

Note: Please ensure that you pay the application fee before (or at the same time as) submitting this application.

Applicants should be aware that processing an application will be delayed if the information and/or documentation submitted to the *FCA*, at any stage of the approval process, is found to be inaccurate or incomplete.

1. This should include applications where the business intending to carry out *sponsor services* has previously done so as part of a different legal entity, e.g. the application is being carried out due to a restructuring or sale. [↑](#footnote-ref-2)