# **Eligibility for listing**

# **Open-ended investment companies**

|  |  |
| --- | --- |
| *Name of Company:* |  |
| *Nature of Transaction:* |  |
| *Name of Adviser:* |  |
| *Date Submitted:* |  |

| **Rule** | |  | | **Page** | **Proof Number** | **Comment (where applicable)** |
| --- | --- | --- | --- | --- | --- | --- |
| **UKLR 3** | | |  |  |  |  |
| 3.2.1 (1) | Duly incorporated | | |  |  |  |
| 3.2.1 (2) | Operating in conformity with constitution | | |  |  |  |
| 3.2.2 (1) | Conforms with law of place of constitution | | |  |  |  |
| 3.2.2 (2) | Duly authorised | | |  |  |  |
| 3.2.2 (3) | Statutory and other consents | | |  |  |  |
| 3.2.3 | Admitted on regulated market or RIE (as applicable) | | |  |  |  |
| 3.2.4 (1) | Freely transferable | | |  |  |  |
| 3.2.4 (2) | Fully paid | | |  |  |  |
| 3.2.7 (2) | Minimum market capitalisation | | |  |  |  |
| 3.2.9 (1) | Whole class to be listed | | |  |  |  |
| 3.2.10 (2) | Prospectus approved by FCA and published (if applicable) | | |  |  |  |
| 3.2.11 (2) | Listing particulars approved by the FCA and published (if applicable) | | |  |  |  |
| **UKLR 12** |  | | |  |  |  |
| 12.2.1 (1) | ICVC with an authorisation order | | |  |  |  |
| 12.2.1 (2) | Overseas CIS that is a recognised scheme | | |  |  |  |

**Non-applicability Confirmation**

We inform you that items marked “N/A” in the Page column of the above checklist are considered not applicable and no equivalent information is available in relation to the enclosed document.

|  |  |
| --- | --- |
| *Signed by:* |  |
| *On behalf of[[1]](#footnote-1):* |  |

1. *The signatory should be properly authorised to do so on behalf of the issuer* [↑](#footnote-ref-1)