

### Part 3

## Trading status of shares and exemption from keeping a register of people with significant control (PSC)



Use this Part to tell us of the trading status of shares and information about exemption from keeping a PSC register (if this is the first time you're giving this information or if any of this information has changed since you last gave it).

✓ This part must be sent at the same time as your confirmation statement.

✗ Do not send if none of this information has changed.

For further information, please refer to our guidance at [www.gov.uk/companieshouse](http://www.gov.uk/companieshouse)

#### C1

### Company's shares admitted to trading on a market <sup>1</sup>

Were any shares admitted to trading on a market during the confirmation period? Please tick the appropriate box below:

**No** go to **Part 4 section D1** 'Non traded shareholders'

**Yes** go to **Section C2** 'DTR5'

<sup>1</sup> A market is one established under the rules of a UK recognised investment exchange or any other UK or EU regulated market. The current UK recognised investment exchanges and regulated markets can be found at: [www.fsa.gov.uk/register/exchanges](http://www.fsa.gov.uk/register/exchanges).

#### C2

### Exemption from providing shareholder information (DTR5) <sup>2</sup>

Throughout the confirmation period, was the company a traded company and an issuer to which DTR5 applies? Please tick the appropriate box below:

**Yes** go to **Section C3**

**No** go to **Section C3**

<sup>2</sup> Please review and complete this section if you have answered 'Yes' to section C1 'Company's shares admitted to trading on a market'.

#### DTR5

DTR5 refers to the Vote Holder and Issuer Notification Rules contained in Chapter 5 of the Disclosure and Transparency Rules source book issued by the Financial Conduct Authority.

#### C3

### Exemption from keeping a people with significant control (PSC) register <sup>3</sup>

Is the company exempt or has it ever been exempt from keeping a PSC register:

→ **Yes** continue (Tick only one box).

→ **No** go to **Part 4 section D2** 'Shareholder information for certain traded companies'.

Please tick the appropriate statement:

The company is exempt from the requirement to obtain information and keep a register of its PSC because the company has voting shares admitted to trading on a regulated market in the United Kingdom.

The company is exempt from the requirement to obtain information and keep a register of its PSC because the company has voting shares admitted to trading on an EU regulated market.

The company is exempt from the requirement to obtain information and keep a register of its PSC because the company has voting shares admitted to trading on a market listed in Schedule 1 of the Register of People with Significant Control Regulations 2016.

The exemption from keeping a PSC register (Part 21A) no longer applies. <sup>4</sup>

#### <sup>3</sup> Exemption from keeping a PSC register

In accordance with Part 21A of the Companies Act 2006.

#### <sup>4</sup> Exemption from keeping a PSC register no longer applies.

If you need to provide PSC information complete and return the appropriate forms.