

## **Guidance Note: Market Announcements**

**References** Chapters 3 & 11, SVGEX Listing Rules

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### **Introduction**

This guidance note has been issued to provide details to listed entities of how the SVGEX Announcements Office operates.

### **Regulatory Objectives**

Providing details of how the SVGEX Announcements Office operates is aimed at assisting listed entities to more effectively comply with their disclosure obligations under the SVGEX Listing Rules.

### **Documents to be provided to the SVGEX Announcements Office**

Listing Rules 11.3 and 11.4 require an entity to provide the following documents to the SVGEX Announcements Office:

- a. a document for release to the market;
- b. a document sent to the entity's security holders;
- c. a prospectus or information memorandum;
- d. a takeover document;
- e. a trust deed;
- f. the entity's constitution; or
- g. any other document the Exchange requires the entity to provide to the SVGEX Announcements Office.

### **Provision of documents to the SVGEX announcements office**

Documents may be provided by entities to the SVGEX Announcements Office by email or by fax. The preferred method of lodgement is email, in PDF format or in a format that may be conveniently converted to PDF.

Documents are to be provided as follows:

E [announcements@svgex.com](mailto:announcements@svgex.com)

The SVGEX Announcements Office is open from 8.00am to 4.00pm on trading days.

### **How does the exchange deal with announcements?**

When documents are received by the SVGEX Announcements Office they are assessed by Exchange staff to determine what action is required in relation to the document.

Where Exchange staff determine that the document needs to be treated as an announcement to the market the following steps are taken:



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- a. Exchange staff examine the announcement to determine whether there should be a temporary halt in trading to enable the market to assess the nature of the announcement;
- b. brief details of the announcement are made available on the “announcements” area of the SVGEX web site;
- c. all listed entities referred to in the announcement are notified that the announcement has been released to the market;
- d. the full announcement is made available in the announcement’s areas of the relevant listed entities on the SVGEX web site.

### **Listed entities obligations in relating to announcements**

SVGEX Listing Rule 11.10 provides that an:

“entity must ensure that information for release to the market is not made available to any other person prior to providing the information to the Exchange and receiving notification from the Exchange that it has released the information to the market.”

This requirement is aimed at ensuring that investors have an equal opportunity to trade on the same information about a listed entity.

In addition, SVGEX Listing Rule 11.8 specifies that documents should be passed to the Exchange on company letterhead, dated and signed by an authorised officer of the company unless the Listing Rules requires otherwise. Such a letter should accompany documents submitted using a SVGEX or CMAEC pro-forma.

### **Scope of guidance note**

This guidance note is intended to assist listed entities to comply with their obligations under the SVGEX Listing Rules. It is not exhaustive, does not in any way act as a substitute for any SVGEX Listing Rules and is not binding on the Exchange in its application of the Rules in any particular case.

This guidance note does not constitute legal advice by the Exchange. Where appropriate, listed entities should obtain their own professional advice about compliance with their obligations under the SVGEX Listing Rules.

### **Queries**

If you have queries about this guidance note please contact the SVGEX Announcements Office on:

E [announcements@svgex.com](mailto:announcements@svgex.com)