

Fee tariff data

Regulatory fees and levies 2020/2021

Fee-blocks A010 and I007

FCA	Tariff base	Number of traders
FCA	Valuation date	As at 31 December 2019

We need fees and levies information to calculate your fees for the Financial Conduct Authority (FCA), Financial Guidance Levy (FGL) and the Financial Ombudsman Service (FOS). We provide separate guidance for data relevant to the [FSCS levies](#).

This guidance sheet provides details on the data to include within the firm's fee tariff data submission. We have given links to relevant parts of the Handbook to help you complete the form correctly. This sheet covers the following fee-blocks:

- **FCA fee-block A010**
- **FOS industry block I007**

For more information on this fee block, including which regulated activities place firms into the above fee-blocks, please refer to the fees manual ([FEES](#)).

Each year we consult on any proposed fee policy changes and fee tariff bases may be subject to change. So before submitting the fee tariff data, you should also refer to the [latest publications](#) about fees on our website. These explain any proposed changes to the tariff data you must report, and the expected date when any changes will be implemented.

For publications and further information on fees and levies, visit our [fees webpages](#).

Notes:

The PRA has different tariff bases for designated investment firms in PRA fee-block A10. The tariff bases are total assets and total operating income. We will not ask the relevant firms for this data as we will obtain this from our own regulatory systems.

Your firm is allocated to FSCS class 2 category 1, life distribution and investment intermediation (CLII-1), which replaced FSCS classes SC02 and SD02. The levy for this category continues to be based on annual eligible income. See the guidance for [FSCS category CLII-1](#)

FEES AND LEVIES 2020/21 – REQUEST FOR FEE-TARIFF DATA

FCA fee-block: A010 – firms dealing as principal

Tariff base: number of traders, as at 31 December 2019

Any *employee* or agent, who:

ordinarily acts within the *United Kingdom* on behalf of an *authorised person* liable to pay fees to the *FCA* in its fee-block A.10 (firms dealing as principal/bidding in emissions auctions); and who, as part of their duties in relation to those activities of the *authorised person*, commits the *firm* in market dealings or in transactions in *securities* or in other *specified investments* in the course of *regulated activities*.

But not any *employees* or agents who work solely in the *firm's Multilateral trading facility (MTF)* operation.

A *firm* may, as an option, report *employees* or agents as full-time equivalents (FTE), taking account of any part-time staff. In calculating the FTE, *firms* must take into account the total hours *employees* or agents have contracted to work for the *firm* and not the time *employees* or agents devote to the function of dealing as principal and bidding in emissions auctions. Any figures using the FTE calculation to be recorded to one decimal place, rounded down to the nearest decimal place. For firms carrying on auction regulation bidding: for each trader that carries on auction regulation bidding but not MiFID business bidding or dealing in investments as principal, should be reported as 0.8.

FOS industry block: I007 – firms dealing as principal

Tariff base: number of relevant traders as at 31 December 2019

You do not need to supply tariff data for Industry block I007 as the FOS levy is currently a flat fee.

If your firm has a valid FOS exemption no data is required.

IMPORTANT

Firms registered for online invoicing must submit the data on line; any completed paper forms should be emailed to feetariffreturns@fca.org.uk before the date shown on the front of your fee tariff data letter.

Before submission please ensure:

- FCA data includes any full time equivalent figures, using the FTE calculation and have been recorded to one decimal place
- You have completed and totalled all sections
- Do not leave blanks (enter '0' when submitting on line or 'NIL' on the paper form, where applicable)
- The tariff data has been signed off at the appropriate level of seniority, for example the compliance director, before submitting to us

EEA BRANCHES ONLY – You must email feetariffreturns@fca.org.uk and let us know if there are any regulated activities you are not conducting in the UK. We will update your online form to reflect this so you can submit your return. Paper reporters can indicate this when returning their form.

e-mail: feetariffreturns@fca.org.uk	Tel: 0300 500 0597	Mail: FCA - Revenue Dept. Tariff Data Collection 12 Endeavour Square London E20 1JN
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