

FEES AND LEVIES 2017/18 – REQUEST FOR FEE-TARIFF DATA

Fee-blocks A010 and I007

FCA	Tariff base	Number of traders
FCA	Valuation date	As at 31 December 2016

We need fees and levies information to calculate the fees firms pay for the Financial Conduct Authority (FCA) and where applicable the Prudential Regulation Authority (PRA) Money Advice Services (MAS) 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 form. 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 permissions place firms into the above fee-blocks, please refer to the Fees manual ([FEES](#)) of our Handbook.

Fee tariff bases are subject to change during the year due to consultations made on our fees rules. So before completing the forms refer to the [latest publications](#) on fees on our website. These will explain any proposed changes to the tariff data you must report, and the expected date when any changes will be implemented.

[For FSCS guidance](#), publication and further information on fees and levies please visit the fees section on our website.

FCA fee-block: A010 - dealers as principal

Tariff base - number of traders, as at 31 December 2016

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.

e-mail: feetariffreturns@fca.org.uk	Tel: 0300 500 0597	Mail: FCA - Revenue Dept. Tariff Data Collection 25 The North Colonnade Canary Wharf London E14 5HS
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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. Indicate clearly on the form if reporting to one decimal place.

Note: Your firm will be allocated to FSCS class SD02 for investment mediation business. The SD02 class is based on annual eligible income. Please also see the guidance for [FSCS class SD02](#)

FOS industry block: I007 - firms dealing as principal

Tariff base - number of relevant traders as at 31 December 2016

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 as notified on the fee tariff data form, you don't need to submit more data here.

IMPORTANT

You must return the information to our Revenue Operations department by the date shown on the front of your tariff data letter. Return your paper form by post or email via the contact details below or submit the data on line.

Before submission please ensure:

- FCA and FOS tariff data have been completed and are in full time equivalent numbers and you have clearly indicated where a decimal place has been used.
- You have completed and totalled all sections.
- Do not leave blanks (enter 'NIL' on the paper form or alternatively '0' when submitting on line where applicable).
- The tariff data form has been signed off at the appropriate level of seniority, e.g. compliance director before submitting to us.
- EEA BRANCHES ONLY – If your firm is not conducting any regulated activities in the UK that place your firm in this fee-block, please indicate this when returning your paper form or if submitting the form

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on line you must email feetariffreturns@fca.org.uk stating which of these are not applicable. We will update your online form to reflect this so you can submit your return.

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