

## FEES AND LEVIES 2018/19– REQUEST FOR FEE-TARIFF DATA

### Fee-blocks A010 and I007

<b>FCA</b>	<b>Tariff base</b>	<b>Number of traders</b>
<b>FCA</b>	<b>Valuation date</b>	<b>As at 31 December 2017</b>

We need fees and levies information to calculate your fees for the Financial Conduct Authority (FCA), 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 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 FSCS guidance, publication and further information on fees and levies, visit our [fees website](#).

### **FCA fee-block: A010 – firms dealing as principal**

#### **Tariff base: number of traders, as at 31 December 2017**

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

<b>e-mail:</b> <a href="mailto:feetariffreturns@fca.org.uk">feetariffreturns@fca.org.uk</a>	<b>Tel:</b> 0300 500 0597	<b>Mail:</b> FCA - Revenue Dept. Tariff Data Collection 25 The North Colonnade Canary Wharf London E14 5HS
---	---------------------------	--

## FEES AND LEVIES 2018/19 – REQUEST FOR FEE-TARIFF DATA

auctions. Any figures using the FTE calculation to be recorded to one decimal place, rounded down to the nearest decimal place.

### Notes:

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](#)

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

### FOS industry block: I007 – firms dealing as principal

#### Tariff base: number of relevant traders as at 31 December 2017

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](mailto:feetariffreturns@fca.org.uk) before the date shown on the front of your fee tariff data letter.**

#### Before submission please ensure:

- FCA and FOS tariff 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, e.g. compliance director, before submitting to us

EEA BRANCHES ONLY – You must email [feetariffreturns@fca.org.uk](mailto: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: <a href="mailto:feetariffreturns@fca.org.uk">feetariffreturns@fca.org.uk</a>	Tel: 0300 500 0597	Mail: FCA - Revenue Dept. Tariff Data Collection 25 The North Colonnade Canary Wharf London E14 5HS
--	--------------------	---