

FEES AND LEVIES 2014/15– REQUEST FOR FEE-TARIFF DATA

Fee-blocks A012 and I008

We need fees and levies information to calculate the fees payable by the firm in respect of 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 form. We have given links to relevant parts of our Handbook to help you complete the form correctly. This sheet covers the following fee-blocks:

- **FCA fee-block A012**
- **FOS industry block I008**

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

FCA fee-block: A012 – advisory arrangers, dealers or brokers (holding or controlling client money and/or assets)

Tariff base - annual income for your financial year ended in 2013

From time to time we make changes to our fee-blocks and tariff bases.

We are proposing to create a new fee-block (A21) for firms carrying on investment business where their permissions include safeguarding or administering assets and/or holding client money.

As a consequence of introducing the new fee-block we are proposing to move firms who are currently in fee-block A12 to fee-block A13, as the ability to hold client money or assets is the only distinction between the two fee-blocks.

Firms that are currently in fee-block A12 will instead pay fees under fee-block A13 for their investment mediation activities and if they are subject to client money rules they will also pay a fee under fee-block A21.

Firms should report their annual income for 2014/15 using the fee tariff data guidance set out under fee-block A13. Firms should not include income in relation to their safeguarding or administering assets or holding client money permissions.

For further information please see chapter 3 of our [CP13/14](#) fees policy proposals for 2014/15

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FOS industry block I008

FOS is not proposing to make any changes to their industry blocks. This means that firms who are holding client money or assets should continue to include their income from holding client money or assets under industry block I008.

The annual income submitted for Fee Block A12 should not include income for corporate finance business (Fee Block A014) and/or investment management (Fee Block A007). Please refer to A014 / A007 guidance when completing the fee tariff data for these fee blocks.

FOS industry block: I008 - advisory arrangers, dealers or brokers (holding or controlling client money and/or assets)

Tariff base - relevant annual income for your financial year ended in 2013

The FOS levy is based on business done with consumers and which is subject to the jurisdiction of the [Financial Ombudsman Service](#) Income that will perform the above customer functions with consumers in relation to business that is subject to the jurisdiction of the Financial Ombudsman Service should be included

If the firm has a valid FOS exemption as notified on the fee tariff data form no data is required.

IMPORTANT

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

Before submission please ensure:

- FOS tariff data has been completed and is in British £.
- You have completed and totalled all sections.
- Do not leave blanks (enter 'NIL' where applicable).
- The tariff data form has been signed off at the appropriate level of seniority, e.g. compliance director, and dated before it is returned 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 form.

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