

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

### Fee-blocks A014 and I010

<b>FCA</b>	<b>Tariff base</b>	<b>Annual income - corporate finance business</b>
<b>FCA</b>	<b>Validation date</b>	<b>For financial year ended in the calendar year ending 31 December 2016</b>

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 gives 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 A014**
- **FOS industry block I010**

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,

#### FCA fee-block: A014 - corporate finance advisers

##### **Tariff base - annual income for your financial year ended in 2016**

From time to time we may make changes to our fee-blocks and tariff bases. Before completing the forms, refer to [latest publications](#) on fees policy proposals to see if any changes affect reporting your fee tariff data.

Annual income is defined in [FEES 4 Annex 11AR](#); guidance is set out in [FEES 4 Annex 13G](#)

**The annual income submitted for Fee Block A14 should not include income for non corporate finance business (Fee Blocks A013) and/or investment management (Fee Block A007). Refer to A013 / A007 guidance when completing the fee tariff data for these fee blocks.**

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

#### FOS industry block: I010 - corporate finance advisers

##### **Tariff base - relevant annual income for your financial year ended in 2016**

<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
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You do not need to supply tariff data for Industry block I010 as the FOS levy is currently a flat fee.

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 completed tariff data forms to our Revenue Operations department by the date shown on the front of your tariff data letter. Return paper forms by post or email via the contact details below or submit the data on line.**

#### **Before submission please ensure:**

- You have completed and totalled all sections in British £.
- Do not leave blanks (please 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 submitted 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 on line you must email [feetariffreturns@fca.org.uk](mailto: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.

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