

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

Fee-blocks A014 and I010

FCA	Tariff base	Annual income – corporate finance business
FCA	Validation date	For financial year ended in the calendar year ending 31 December 2017

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 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 place firms into 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: A014 – corporate finance advisers

Tariff base: annual income for your financial year ended in 2017

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

Note: The annual income submitted for fee-block A14 should not include the following:

- 1. income from non corporate finance business (fee-block A013)**
 - 2. income from managing investments, collective investment schemes or pension schemes (fee blocks A007 & A009)**
- Please use A013, A007 or A009 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.

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FOS industry block: I010 – corporate finance advisers

Tariff base: relevant annual income for your financial year ended in 2017

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 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:

- Data has been completed in whole numbers and are in GBP
- You have completed 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 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.

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