

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

Fee-blocks A002 and I001

FCA	Tariff base	Number of home finance transactions entered into and administered
FCA	Validation date	Number entered into in 12 months ending 31 December 2016 and number being administered on 31 December 2016
FOS	Tariff base	Number of relevant accounts
FOS	Validation date	As at 31 December 2016

We need fees and levies information to calculate the fees firms need to pay 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 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 A002**
- **FOS industry block I001**

A002

The mortgage credit directive bought firms dealing with [second charge mortgages](#) into the existing mortgage regime from March 2016. Second charge lending **should be included** in the number of home finance transactions. Second charge mortgages will no longer be regulated under consumer credit. For more information on this, including which regulated activities permissions place firms into fee-blocks, see the Fees manual ([FEES](#)) of our Handbook.

Fee tariff bases are subject to change during the year because we consult on our fees rules. So before completing the forms refer to the [latest publications](#) about 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, visit our [fees website](#)

FCA fee-block: A002 - home finance providers and administrators

Tariff base - number of mortgages and other home finance transactions entered into (in the twelve months ending 31 December 2016) and administered (on 31 December 2016)

The firm must include:

e-mail: feetariffreturns@fca.org.uk	Tel: 0300500 0597	Mail: FCA- Revenue Dept. Tariff Data Collection 25 The North Colonnade Canary Wharf London E14 5HS
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The number of new *home finance transactions* entered into;

AND

The number of *home finance transactions* being administered:

(a) multiplied by 0.05 for *firms* with *permission* for *administering a home finance transaction* but not *permission* for *entering into a home finance transaction*; or

(b) by 0.5 for all other *firms*.

Notes:

(1)[deleted]

(2) For the measure of the number of contracts being administered, each charge counts as one contract, irrespective of the number of loans involved.

(3) *Home finance transactions* administered include those that the *firm* administers on behalf of other *firms*

FOS industry block: I001 – deposit acceptors, home finance providers and administrators

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

The number of relevant accounts refers to business that is covered by the Compulsory Jurisdiction within [DISP 2.6](#) - For rules on the Number of Relevant Accounts, see [FEES 5, Annex 1R](#) Report only those accounts to be held by consumers only. You only need to count an account once even it is relevant to two or more activities.

No data is requested if you are a Credit Union as this is covered under FOS Industry block I014.

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

IMPORTANT

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You must return the information 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:

- FCA and FOS tariff data have been completed and are in numerical format.
- 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 on line you must email feetariffreturns@fca.org.uk stating which of these are not applicable..

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