

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

### Fee-blocks A009 and I006

<b>FCA</b>	<b>Tariff base</b>	<b>Gross income</b>
<b>FCA</b>	<b>Validation Date</b>	<b>Valued at most recent financial year ended before 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 provides details on the data to include within the firm's fee tariff data form. 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 A009**
- **FOS industry block I006**

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

Please also refer to the [calculation sheet](#) accompanying this note. This is to help you with your calculations; you don't need to send it back to us.

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

- clarification of elements of the A009 tariff base are in [CP14/26](#) chapter 11. The consultation does not involve changes to policy but helps to calculate their A009 tariff data according to our policy intention.

For [FSCS guidance](#), publication and further information on fees and levies please visit our fees website: <http://www.fca.org.uk/firms/being-regulated/fees/tariff>

### FCA fee-block: A009 – managers and depositaries of investment funds, and operators of collective investment schemes or pension schemes

**Tariff base - gross income, valued at the most recent financial year ended before 31 December 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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## FEES AND LEVIES 2017/18- REQUEST FOR FEE-TARIFF DATA

For *operators* (including *ACDs* and managers of *unit trusts* but excluding *operators* of a *personal pension scheme* or a *stakeholder pension scheme*):

gross income from the activity relating to fee-block A.9 is defined as:

- the amount of the annual charge on funds invested in regulated or *unregulated collective investment scheme* received or receivable in the latest accounting period (this is calculated as a % of funds invested, typically 1% p.a.);

**PLUS**

- the front-end or exit charge levied on sales or redemptions of *collective investment schemes* (typically 4-5% of sales/redemptions) in that same accounting period;

**PLUS**

- any additional initial or management charges levied through a product wrapper such as a *PEP* or an *ISA*;

**BUT EXCLUDING** box management profits.

For *depositories* (including *trustees* of *collective investment schemes* and *ICVC depositories*):

The amount of the annual charge levied on funds in *regulated collective investment schemes* for which they act as *depository* (typically a % of the total funds for which they act as *depository*).

For *operators* of a *personal pension scheme* or a *stakeholder pension scheme*:

The amount of the charges levied on the *personal pension scheme* or a *stakeholder pension scheme* for which they act as *operator*.

- including up-front charges, fund related charges, transaction related charges and periodic charges; but
- excluding charges made to an investor in respect of third party suppliers; for example, charges for stock broking, borrowing, banking services and charges for arranging third party legal services, surveys or environmental screening in connection with property.

**Note:**

Only the gross income corresponding to *United Kingdom* business is relevant.

**FOS industry block: I006 – managers and depositories of investment funds, and operators of collective investment schemes or pension schemes**

**Tariff base - relevant gross income**

You do not need to supply tariff data for Industry block I006 as the FOS levy is currently a flat fee.

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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 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 British £.
- You have completed and totalled all sections.
- 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 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](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.

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