

Fee tariff data

Regulatory fees and levies 2020/2021

FSCS class 3 - Investment provision claims (CLIP) and class 2 category 3 investment provision (CLII-3)

(data previously reported for class SD01 – Investment provision)

Tariff base	Annual eligible income
Validation date	Financial year ending in 2019

We need information from you to calculate your levies for the Financial Services Compensation Scheme (FSCS).

This guidance sheet provides details on the data to include within your fee tariff data submission. We have given links to relevant parts of the Handbook to help you complete the form correctly.

In 2016 the FCA commenced a review on the funding arrangements of FSCS and consulted on proposals for several policy changes. The changes included the introduction of new funding classes and categories, which became effective from 1 April 2019 and can be found in [FEES 6 annex 3A](#) of our handbook.

Your firm is allocated to FSCS class 3, investment provision claims (CLIP), which replaced FSCS class SD01. The levy for this class continues to be based on annual eligible income and is the same definition as data you previously reported.

Your firm is also allocated to FSCS class 2 category 3, investment provision (CLII-3). The levy for this category is based on the same data as reported in FSCS class 3.

Please see [latest publications](#) about fees and levies on our website.

FEES AND LEVIES 2020/21 – REQUEST FOR FEE TARIFF DATA

Legal basis for firms belonging to class 3 (CLIP) and class 2 category 3 (CLII-3): firms with permission for:

- managing investments;
- managing an AIF;
- managing a UCITS;
- acting as trustee or depositary of an AIF;
- acting as trustee or depositary of a UCITS;
- establishing, operating or winding up a collective investment scheme;
- establishing, operating or winding up a stakeholder pension scheme;
- establishing, operating or winding up of personal pension scheme

Tariff base for class 3 (CLIP) and class 2 category 3 (CLII-3): annual eligible income for your financial year ended in 2019

The calculation of annual eligible income for this class and category is set out in [FEES 6 annex 3A](#) of our handbook. [FEES 6 Annex 4](#) provides guidance on the calculation.

Annual eligible income for levies is defined as:

A firm must calculate annual eligible income in one of the following ways:

- (a) only include such annual income if it is attributable to business in respect of which the FSCS may pay compensation; or
- (b) include all such annual income

You can find out who is eligible to bring a claim for compensation in [COMP 4.2.1 R](#).

As from the 2018/19 invoice period firms should note the changes to our rules we consulted on in [CP16/42 \(9.22-9.27 Q22\)](#), and our response in chapter 7 of [CP17/36](#) with regards to reporting income in relation to underlying beneficiaries. See [COMP 12A.3](#) in our handbook in respect of beneficiaries for collective investment schemes. See [COMP 5.5.2](#) in respect of territorial scope for protected business.

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:

- Tariff 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, for example the compliance director, before submitting to us.

If you need more help or information on completing your FSCS data, email us at feetariffreturns@fca.org.uk

e-mail: feetariffreturns@fca.org.uk	Tel: 0300 500 0597	Mail: FCA - Revenue Dept. Tariff Data Collection 12 Endeavour Square London E20 1JN
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