

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

FSCS class D1 (SD01) - investment provision

Tariff base	Annual eligible income
Validation date	Financial year ending in 2017

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.

The FSCS funding rules for the investment provision class is in [FEES 6](#) of the Handbook, [Annex 3A](#) sets out the class description and tariff base definition.

Guidance on the calculation of the tariff base for investment provision (D1) class can be found in [FEES 6 Annex 4](#).

Legal basis for firms belonging to class SD01: 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 SD01: annual eligible income for your financial year ended in 2017

Annual eligible income for 2018/19 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](#).

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.

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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, e.g. compliance director, before submitting to us.

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

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