

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

### FSCS class D2 (SD02) – investment intermediation

<b>Tariff base</b>	<b>Annual eligible income</b>
<b>Validation date</b>	<b>Financial year ending in 2017</b>

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 intermediation class is in [FEES 6](#) of the Handbook; [Annex 3A](#) sets out the class description and tariff base definition.

Guidance on the calculation of annual eligible income, the tariff base for investment intermediation (D2) class can be found in [FEES 6 Annex 4](#).

#### **Legal basis for firms belonging to class SD02: firms with permission for:**

intermediation of structured deposits (except for managing investments in relation to structured deposits); and/or

any of the following in relation to designated investment business

- dealing in investments as principal;
- dealing in investment as agent;
- MiFID business bidding;
- arranging (bringing about) deals in investments;
- making arrangements with a view to transactions in investments;
- advising on investments;
- providing basic advice on a stakeholder product;
- safeguarding and administering of assets
- arranging safeguarding and administering of assets;
- operating a multilateral trading facility;
- operating an organised trading facility

BUT excluding activities that relate to *long term insurance contracts* or rights under a *stakeholder pension scheme* or a *personal pension scheme*

**recognised investment exchanges** that are operating a multilateral trading facility or operating an organised trading facility belong to class SD02.

<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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### **Tariff base for class SD02: 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 that for the 2018/19 levy year they need to include income from structured deposits.**

You can find guidance on product allocation for mediation in our Policy Statement [PS08/11](#) - annex2

### **IMPORTANT**

**Firms registered for online invoicing must submit the data on line; any completed paper forms should be emailed to [feetariffreturns@fca.org.uk](mailto: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](mailto:feetriffreturns@fca.org.uk)

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