

FSCS class SD02 - investment intermediation

Legal basis

Any of the following in relation to *designated investment business*

- *dealing in investments as principal;*
- *MiFID business bidding*
- *dealing in investment as agent;*
- *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*
- *agreeing to carry on a regulated activity which is within any of the above*
- *BUT excluding activities that relate to long term insurance contracts or rights under a*
- *stakeholder pension scheme or a personal pension scheme*

Tariff base - SD02 - annual eligible income

You must give the [annual eligible income](#) for investment mediation for your financial year that ended in 2016.

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

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

Please note the criteria has changed for classifying the size of small business relating to [COMP 4.2.2R](#)

Relevant Links

<http://www.legislation.gov.uk/ukpga/2006/46/section/382>

http://www.legislation.gov.uk/uksi/2015/980/pdfs/uksi_20150980_en.pdf

FSCS exemptions

If you have a valid FSCS exemption it will be noted on the tariff data form, and you will not have to submit any data. Is your firm exempt from the FSCS? To complete the exemption form, see the [FSCS/FOS pages of our website](#):

e-mail: feetariffreturns@fca.org.uk	Tel: 0300 500 0597	Mail: 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

Notes

- When completing the tariff data form give all monetary values in British £.
 - Submit all monetary data for your financial year end 2016.
 - Do not leave blanks (enter NIL on the paper form or alternatively '0' when submitting on line where applicable)
 - You can notify us of FSCS/FOS exemptions using the forms available from the above [FSCS/FOS page of our website](#). If you want the exemption to be effective for 2017/18, you must make sure we receive the exemption form by **31 March 2017**: we will not exempt a firm from FSCS levies for any notifications received after this date for the 2017/18 fee year. If you are currently exempt, you do not need to reapply as the exemption will continue. If you are exempt from the FSCS you will still pay a levy towards FSCS base costs.
 - If you need more help or information on completing your FSCS data, call us on 0300 500 0597 and speak to your supervisor, or email us at feetariffreturns@fca.org.uk
 - Make sure your fee tariff data form has been signed off at the appropriate level of authority (e.g. by a compliance director) and dated before you submit it to us.

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