

# Invoice



Attn: The Compliance Officer  
Firm A  
Address 1  
Address 2  
Address 3  
Town PostCode

**Financial Conduct Authority**  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

Customer Contact Centre  
Tel: 0845 606 9966  
Email: FCAfees@fca.org.uk  
www.fca.org.uk

Account number	Invoice number	Invoice date	Payment due date
000099	PFA14_524964	01 July 2014	31 July 2014

## REGULATORY FEES & LEVIES: 2014/2015

Financial Conduct Authority Periodic Fee			£25,529.68
Money Advice Service Fee			£1,751.65
Financial Services Compensation Scheme Levy			£13,275.59
Financial Ombudsman Service Levy			£532.50
VAT Code Outside Scope		Total	£ 41,089.42
VAT Registration No. 480 8791 09	VAT Rate 0%	V.A.T	0.00

Where applicable, this invoice is raised by the Financial Conduct Authority on behalf of the Prudential Regulation Authority, the Money Advice Service, the Financial Ombudsman Service, the Financial Reporting Council and the Financial Services Compensation Scheme as the authorised collection agent.

**Amount Due £ 41,089.42**

## Financial Conduct Authority

Please make cheques payable to the 'Financial Conduct Authority' and return this portion with your remittance to:  
The Cashier, Revenue Department, The Financial Conduct Authority, 25 The North Colonnade, Canary Wharf,  
London E14 5HS, United Kingdom.



## Remittance Advice

Account Number 000099 Firm A  
Invoice Number PFA14\_524964  
Invoice Date 01 July 2014

**Amount Due £ 41,089.42**  
**Cheque Number**

<http://www.fca.org.uk/firms/being-regulated/fees>

Registered as a limited company in England and Wales number 1920623. Registered office as above.

## Ways to pay your invoice



### Direct Debit – the easiest way to pay

Simply go to our website and download the Direct Debit form, fill it in and return to us by 11 July 2014. Before sending the form please check that - your account number has 8 digits; your sort code has 6 digits; and your bank account can accept direct debits (your bank can confirm this), or you can telephone the Customer Contact Centre for details of how to create the Direct Debit instruction.

<http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>



### By Instalments

Regulatory fees may be paid by instalment. Simply complete the Premium Credit Limited agreement form on-line at <http://www.premium-credit.co.uk/fca.html> by 16 July 2014. The FCA, whilst not endorsing Premium Credit Limited over other credit providers, has agreed to publicise the company as the unanimous choice of designated trade associations.



### By BACS/CHAPS transfer

Funds should be transferred to the following account:

Account name: FCA Collection Account  
Bank name: Lloyds TSB Bank  
Account number: 00828179  
Sort code: 30-00-02  
SWIFT number: LOYD GB 2LCTY  
IBAN: GB 68 LOYD 3000 0200 8281 79  
Please reference your payment with your firm reference number 000099 and invoice number PFA14\_524964  
Please email your Remittance Advice and payment details to [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)



### By Post/Cheque

ALL cheques should be made payable to **The Financial Conduct Authority**, with your firm reference number 000099 written on the back. Please fill in the remittance advice overleaf and send it with your cheque to:  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
Attn : The Cashier - Revenue Dept.



### By Maestro/Debit card

Please complete the debit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>



### By credit card

Please complete the credit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>  
An additional 2% of the invoice value will be payable if Regulatory fee invoices are paid by credit card.

## Further information

### Calculation of fees

The general provisions that allow the FCA to charge fees to firms can be found in the FCA Handbook, FEES Manual, Chapter 2. This can be accessed at the following web address:

<http://fshandbook.info/FS/html/handbook/FEES/2>

Information about the types of fees the FCA and PRA charges, including those collected by the FCA for the Financial Ombudsman Service (FOS) and the Financial Services Compensation Scheme (FSCS), can be found at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/others>

Further details about how regulatory fees are calculated can be found at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/annual>

### Late payment and recovery of fees

If regulatory fees are not paid by the due date, a £250 surcharge will apply and interest will commence being charged on any unpaid amount at a rate of 5% above the Bank of England's repo rate.

Where payment is still not forthcoming, civil and/or regulatory action to recover the debt may be taken.

### Fee-Blocks, Tariff-bases, Tariff-rates and Tariff-data

Detailed information about specific fee-blocks, tariff-bases, tariff-rates and tariff-data can be found in the following sections of the FCA Handbook. These can be accessed from the FCA website, at the following web address:

<http://fshandbook.info/FS/html/handbook/FEES/4>

- **Fee-blocks and tariff-bases:** FEES Manual, Chapter 4, Annex 1AR (FCA) and Annex 1BR (PRA)

- **Tariff-rates:** FEES Manual, Chapter 4, Annex 2AR (FCA) and Annex 2BR (PRA)

- **Main fee rules:** FEES Manual, Chapter 4.

<http://fshandbook.info/FS/html/handbook/FEES/4>

For Money Laundering; Payment Services; Electronic Money and Covered Bonds regulation fee-blocks and tariff bases: FEES Manual Chapter 4, Annex 11

<http://fshandbook.info/FS/html/handbook/FEES/4/Annex11>

For Money Advice Service (MAS) fee blocks and tariff bases: FEES 7:

<http://fshandbook.info/FS/html/handbook/FEES/7>

For Consumer Credit Fees, FEES Manual, Chapter 4, Annex 2AR

<http://fshandbook.info/FS/html/handbook/FEES/4>

## Frequently asked questions

Before calling the Customer Contact Centre, please check that your query is not covered in our list of common queries, which can be accessed at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/faqs>

## Getting in touch with us

### Customer Contact Centre

Contact the Customer Contact Centre if you have a query on this invoice or making payment.

Phone 0845 606 9966

Email [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)

**Financial Services Compensation Scheme (FSCS)** – FEES Manual, Chapter 6  
<http://fshandbook.info/FS/html/handbook/FEES/6>

**Financial Ombudsman Service (FOS)** – FEES Manual, Chapter 5  
<http://fshandbook.info/FS/html/handbook/FEES/5>

**Financial Reporting Council (FRC)** – Details of the FRC levy and its latest publication regarding its levy can be found on their website at <http://www.frc.org.uk/About-the-FRC/Annual-Reports-and-Plans/Funding.aspx>

Online Fee Calculator is available on our website:  
<http://www.fca.org.uk/firms/being-regulated/fees/calculator>

The calculator can be used to provide detailed breakdowns of the FCA and PRA fees, MAS, FSCS and FOS levies.

**Fee calculation sheet**  
**Firm A**

**2014/2015**

Account No. 000099  
Invoice No. PFA14\_524964  
Page 3

**Financial Conduct Authority Periodic Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	Deduction	Deduct Code	£ Net Fee
<b>A000</b>	Minimum Fee	Minimum fee - code	5	1,000.00					1,000.00
<b>A007</b>	Portfolio managers	Funds under management	£2,000,000,000	17,193.60			(3,541.88)	F	13,651.72
<b>A009</b>	Mgrs/dep inv funds/op of CIS/pens	Gross income	£4,000,000	4,563.90			(474.65)	F	4,089.25
<b>A013</b>	Advrs/argrs (not hold client money)	Annual income	£1,250,000	3,185.50			(484.20)	F	2,701.30
<b>A021</b>	Holding client money/assets	Holding client assets	£2,802,705,000	1,094.25					
<b>A021</b>	Holding client money/assets	Holding client money	£0	0.00					1,094.25
<b>AP00</b>	Prudential fee	FCA conduct fees	£24,943	2,993.16					2,993.16
<b>TOTAL</b>				<b>£30,030.41</b>			<b>£(4,500.73)</b>		<b>£25,529.68</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet  
Firm A**

**2014/2015**

Account No.

000099

Invoice No.

PFA14\_524964

Page

4

**Money Advice Service Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	£ Net Fee
<b>MAS-A000</b>	Minimum Fee	Minimum fee - code	5	10.00			10.00
<b>MAS-A007</b>	Portfolio managers	Funds under management	£2,000,000,000	995.00			995.00
<b>MAS-A009</b>	Mgrs/dep inv funds/op of CIS/pens	Gross income	£4,000,000	442.26			442.26
<b>MAS-A013</b>	Advrs/argrs (not hold client money)	Annual income	£1,250,000	172.50			172.50
<b>MAS-A021</b>	Holding client money/assets	Holding client assets	£2,802,705,000	131.89			
<b>MAS-A021</b>	Holding client money/assets	Holding client money	£0	0.00			131.89
<b>TOTAL</b>				<b>£1,751.65</b>			<b>£1,751.65</b>

**Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)**

1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
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**Fee calculation sheet**  
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Account No.

000099

Invoice No.

PFA14\_524964

Page

5

**Financial Services Compensation Scheme Levy**

**Base Costs**

Cont. Group	Description	Tariff Base	Tariff Data	Base Costs	£ Total Levy
<b>A000</b>	Minimum Fee	FCA fee	£1,000.00	10.70	
					10.70
<b>A007</b>	Portfolio managers	FCA fee	£17,193.60	297.45	
					297.45
<b>A009</b>	Mgrs/dep inv funds/op of CIS/pens	FCA fee	£4,563.90	141.91	
					141.91
<b>A013</b>	Advrs/argrs (not hold client money)	FCA fee	£3,185.50	8.47	
					8.47
<b>AP00</b>	Prudential fee	FCA fee	£2,993.16	97.67	
					97.67
<b>Total FCA FSCS Funding</b>					<b>£556.20</b>
<b>Total Base Cost</b>					<b>£556.20</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

Specific and Compensation Costs							
Class	Description	Tariff-Base	Tariff-Data	Class Specific Cost	Class Compensation Costs	Retail Pool Costs	£ Total Levy
SD01	Investment - provision	Annual eligible income	£22,500,000.00	514.38	(514.38)		0.00
SD02	Investment - mediation	Annual eligible income	£600,000.00	3,040.37	9,679.02		12,719.39
Total FCA Funding class levy							£12,719.39
Total Specific & compensation cost levy							£12,719.39

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
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**Fee calculation sheet**  
**Firm A**

**2014/2015**

Account No.

000099

Invoice No.

PFA14\_524964

Page

7

**Financial Ombudsman Service Levy**

Industry Block	Description	Tariff Base	Tariff Data	Gross Levy	Discount	Disc Code	£ Net Levy
<b>I005</b>	Portfolio managers	Relevant funds under man	£200,000,000	270.00			270.00
<b>I006</b>	Mgrs/dep inv funds/op of CIS/pens	Relevant gross income	£2,000,000	65.00			65.00
<b>I008</b>	Advrs/argrs (holding client money)	Relevant annual income	£1,250,000	197.50			197.50
<b>TOTAL</b>				<b>£532.50</b>			<b>£532.50</b>

**Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)**

1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations





# Invoice



Attn: The Compliance Officer  
Firm C  
Address1  
Address 2  
Address 3  
Town PostCode

**Financial Conduct Authority**  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

Customer Contact Centre  
Tel: 0845 606 9966  
Email: [FCAfees@fca.org.uk](mailto:FCAfees@fca.org.uk)  
[www.fca.org.uk](http://www.fca.org.uk)

Account number	Invoice number	Invoice date	Payment due date
009999	PFA14_524965	01 July 2014	31 July 2014

## REGULATORY FEES & LEVIES: 2014/2015

Financial Conduct Authority Periodic Fee		£287,302.53
Prudential Regulation Authority Fee		£8,076.41
Money Advice Service Fee		£67,979.19
Financial Services Compensation Scheme Levy		£82,327.44
Financial Ombudsman Service Levy		£65,873.65
Total		£ 511,559.22
VAT Code	Outside Scope	
VAT Registration No.	480 8791 09	
VAT Rate 0%		0.00

Where applicable, this invoice is raised by the Financial Conduct Authority on behalf of the Prudential Regulation Authority, the Money Advice Service, the Financial Ombudsman Service, the Financial Reporting Council and the Financial Services Compensation Scheme as the authorised collection agent.

<b>Amount Due</b>	<b>£ 511,559.22</b>
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## Financial Conduct Authority

Please make cheques payable to the 'Financial Conduct Authority' and return this portion with your remittance to:  
The Cashier, Revenue Department, The Financial Conduct Authority, 25 The North Colonnade, Canary Wharf,  
London E14 5HS, United Kingdom.



## Remittance Advice

Account Number      009999 Firm C  
Invoice Number      PFA14\_524965  
Invoice Date      01 July 2014

<b>Amount Due</b>	<b>£ 511,559.22</b>
<b>Cheque Number</b>	

<http://www.fca.org.uk/firms/being-regulated/fees>

## Ways to pay your invoice



### Direct Debit – the easiest way to pay

Simply go to our website and download the Direct Debit form, fill it in and return to us by 11 July 2014. Before sending the form please check that - your account number has 8 digits; your sort code has 6 digits; and your bank account can accept direct debits (your bank can confirm this), or you can telephone the Customer Contact Centre for details of how to create the Direct Debit instruction.

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### By Instalments

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### By BACS/CHAPS transfer

Funds should be transferred to the following account:

Account name: FCA Collection Account  
Bank name: Lloyds TSB Bank  
Account number: 00828179  
Sort code: 30-00-02  
SWIFT number: LOYD GB 2LCTY  
IBAN: GB 68 LOYD 3000 0200 8281 79  
Please reference your payment with your firm reference number 009999 and invoice number PFA14\_524965  
Please email your Remittance Advice and payment details to [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)



### By Post/Cheque

ALL cheques should be made payable to **The Financial Conduct Authority**, with your firm reference number 009999 written on the back. Please fill in the remittance advice overleaf and send it with your cheque to:  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
Attn : The Cashier - Revenue Dept.



### By Maestro/Debit card

Please complete the debit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>



### By credit card

Please complete the credit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>  
An additional 2% of the invoice value will be payable if Regulatory fee invoices are paid by credit card.

## Further information

### Calculation of fees

The general provisions that allow the FCA to charge fees to firms can be found in the FCA Handbook, FEES Manual, Chapter 2. This can be accessed at the following web address:  
<http://fshandbook.info/FS/html/handbook/FEES/2>

Information about the types of fees the FCA and PRA charges, including those collected by the FCA for the Financial Ombudsman Service (FOS) and the Financial Services Compensation Scheme (FSCS), can be found at the following web address:  
<http://www.fca.org.uk/firms/being-regulated/fees/others>

Further details about how regulatory fees are calculated can be found at the following web address:  
<http://www.fca.org.uk/firms/being-regulated/fees/annual>

### Late payment and recovery of fees

If regulatory fees are not paid by the due date, a £250 surcharge will apply and interest will commence being charged on any unpaid amount at a rate of 5% above the Bank of England's repo rate.

Where payment is still not forthcoming, civil and/or regulatory action to recover the debt may be taken.

### Fee-Blocks, Tariff-bases, Tariff-rates and Tariff-data

Detailed information about specific fee-blocks, tariff-bases, tariff-rates and tariff-data can be found in the following sections of the FCA Handbook. These can be accessed from the FCA website, at the following web address:

<http://fshandbook.info/FS/html/handbook/FEES/4>

- **Fee-blocks and tariff-bases:** FEES Manual, Chapter 4, Annex 1AR (FCA) and Annex 1BR (PRA)

- **Tariff-rates:** FEES Manual, Chapter 4, Annex 2AR (FCA) and Annex 2BR (PRA)

- **Main fee rules:** FEES Manual, Chapter 4.

<http://fshandbook.info/FS/html/handbook/FEES/4>

For Money Laundering; Payment Services; Electronic Money and Covered Bonds regulation fee-blocks and tariff bases: FEES Manual Chapter 4, Annex 11

<http://fshandbook.info/FS/html/handbook/FEES/4/Annex11>

For Money Advice Service (MAS) fee blocks and tariff bases: FEES 7:

<http://fshandbook.info/FS/html/handbook/FEES/7>

For Consumer Credit Fees, FEES Manual, Chapter 4, Annex 2AR

<http://fshandbook.info/FS/html/handbook/FEES/4>

## Frequently asked questions

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## Getting in touch with us

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Phone 0845 606 9966

Email [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)

**Financial Services Compensation Scheme (FSCS)** – FEES Manual, Chapter 6  
<http://fshandbook.info/FS/html/handbook/FEES/6>

**Financial Ombudsman Service (FOS)** – FEES Manual, Chapter 5  
<http://fshandbook.info/FS/html/handbook/FEES/5>

**Financial Reporting Council (FRC)** – Details of the FRC levy and its latest publication regarding its levy can be found on their website at <http://www.frc.org.uk/About-the-FRC/Annual-Reports-and-Plans/Funding.aspx>

Online Fee Calculator is available on our website:  
<http://www.fca.org.uk/firms/being-regulated/fees/calculator>

The calculator can be used to provide detailed breakdowns of the FCA and PRA fees, MAS, FSCS and FOS levies.

**Fee calculation sheet**  
**Firm C**

**2014/2015**

Account No. 009999  
Invoice No. PFA14\_524965  
Page 3

**Financial Conduct Authority Periodic Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	Deduction	Deduct Code	£ Net Fee
<b>A000</b>	Minimum Fee	Minimum fee - code	4	500.00					500.00
<b>A001</b>	Deposit Acceptors	MEL	£210,000,000	2,858.00			(251.51)	F	2,606.49
<b>A002</b>	Home finance providers & admin	Number of home fin trans	50,000	108,391.50			(4,118.88)	F	104,272.62
<b>A007</b>	Portfolio managers	Funds under management	£108,500,000	851.04			(175.31)	F	675.73
<b>A009</b>	Mgrs/dep inv funds/op of CIS/pens	Gross income	£4,500,000	5,324.55			(553.75)	F	4,770.80
<b>A010</b>	Firms dealing as principal	Number of traders	25.0	118,584.00			(12,095.57)	F	106,488.43
<b>A013</b>	Advrs/argrs (not hold client money)	Annual income	£2,500,000	6,648.00			(1,010.50)	F	5,637.50
<b>A014</b>	Corporate finance advisers	Annual income	£1,500,000	4,284.00			(505.51)	F	3,778.49
<b>A018</b>	Home finance prvdrs/adv/arrgrs	Annual income	£3,500,000	58,038.00			(9,170.00)	F	48,868.00
<b>A019</b>	General insurance mediation	Annual income	£1,500,000	2,478.00			(210.63)	F	2,267.37
<b>A021</b>	Holding client money/assets	Holding client assets	£12,000,000	5.88					
<b>A021</b>	Holding client money/assets	Holding client money	£65,000,000	4,856.22					4,862.10
<b>CC02</b>	Consumer credit full permission	Consumer credit income	2,500,000	2,575.00					2,575.00
<b>TOTAL</b>				<b>£315,394.19</b>			<b>£(28,091.66)</b>		<b>£287,302.53</b>

**Prudential Regulation Authority Periodic Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	Deduction	Deduct Code	£ Net Fee
<b>PA00</b>	PRA minimum fee	Minimum fee - code	4	500.00					

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet**  
**Firm C**

**2014/2015**

Account No.

009999

Invoice No.

PFA14\_524965

Page

4

					500.00
<b>PA01</b>	Deposit acceptors	MEL	£210,000,000	7,112.00	
					7,112.00
<b>PT01</b>	PRA transition costs	PRA fee	£7,112	464.41	
					464.41
<b>TOTAL</b>			<b>£8,076.41</b>		<b>£8,076.41</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet  
Firm C**

**2014/2015**

Account No.

009999

Invoice No.

PFA14\_524965

Page

5

**Money Advice Service Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	£ Net Fee
<b>MAS-A000</b>	Minimum Fee	Minimum fee - code	4	10.00			10.00
<b>MAS-A001</b>	Deposit Acceptors	MEL	£210,000,000	710.00			710.00
<b>MAS-A002</b>	Home finance providers & admin	Number of home fin trans	50,000	48,951.00			48,951.00
<b>MAS-A007</b>	Portfolio managers	Funds under management	£108,500,000	49.25			49.25
<b>MAS-A009</b>	Mgrs/dep inv funds/op of CIS/pens	Gross income	£4,500,000	515.97			515.97
<b>MAS-A010</b>	Firms dealing as principal	Number of traders	25.0	6,301.20			6,301.20
<b>MAS-A013</b>	Advrs/argrs (not hold client money)	Annual income	£2,500,000	360.00			360.00
<b>MAS-A014</b>	Corporate finance advisers	Annual income	£1,500,000	168.00			168.00
<b>MAS-A018</b>	Home finance prvdrs/adv/arrgrs	Annual income	£3,500,000	8,024.00			8,024.00
<b>MAS-A019</b>	General insurance mediation	Annual income	£1,500,000	106.40			106.40
<b>MAS-A021</b>	Holding client money/assets	Holding client assets	£12,000,000	0.72			
<b>MAS-A021</b>	Holding client money/assets	Holding client money	£65,000,000	595.83			596.55
<b>MAS-CC02</b>	Consumer credit full permission	Consumer credit income	2,500,000	842.50			842.50
<b>MAS-MA01</b>	Debt advice levy: Depositors	Unsecured debt	£6,500,000	1,304.62			1,304.62
<b>MAS-MA02</b>	Debt advice levy: Home Fin Providers	Secured debt	£2,500,000	39.70			39.70
<b>TOTAL</b>				<b>£67,979.19</b>			<b>£67,979.19</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet**  
**Firm C**

**2014/2015**

Account No.

009999

Invoice No.

PFA14\_524965

Page

6

**Financial Services Compensation Scheme Levy**

**Base Costs**

Cont. Group	Description	Tariff Base	Tariff Data	Base Costs	£ Total Levy
<b>PA01</b>	Deposit acceptors	PRA fee	£7,112.00	521.21	521.21
<b>Total PRA FSCS Funding</b>					<b>£521.21</b>
<b>A000</b>	Minimum Fee	FCA fee	£500.00	5.35	5.35
<b>A001</b>	Deposit Acceptors	FCA fee	£2,858.00	(11.51)	(11.51)
<b>A002</b>	Home finance providers & admin	FCA fee	£108,391.50	2,285.44	2,285.44
<b>A007</b>	Portfolio managers	FCA fee	£851.04	14.72	14.72
<b>A009</b>	Mgrs/dep inv funds/op of CIS/pens	FCA fee	£5,324.55	165.56	165.56
<b>A010</b>	Firms dealing as principal	FCA fee	£118,584.00	3,375.07	3,375.07
<b>A013</b>	Advrs/argrs (not hold client money)	FCA fee	£6,648.00	17.67	17.67
<b>A014</b>	Corporate finance advisers	FCA fee	£4,284.00	91.22	91.22
<b>A018</b>	Home finance prvdrs/adv/argrs	FCA fee	£58,038.00	534.34	534.34
<b>A019</b>	General insurance mediation	FCA fee	£2,478.00	(23.87)	(23.87)
<b>Total FCA FSCS Funding</b>					<b>£6,453.99</b>
<b>Total Base Cost</b>					<b>£6,975.20</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet**  
**Firm C**

**2014/2015**

Account No. 009999  
Invoice No. PFA14\_524965  
Page 7

**Specific and Compensation Costs**

Class	Description	Tariff-Base	Tariff-Data	Class Specific Cost	Class Compensation Costs	Retail Pool Costs	£ Total Levy
<b>SA01</b>	Deposit	Protected deposits	£10,550,000.00	138.50	(62.85)		75.65
<b>Total PRA Funding class levy</b>							<b>£75.65</b>
<b>SB02</b>	General insurance - mediation	Annual eligible income	£3,000,000.00	3,548.34	15,234.83		18,783.17
<b>SC02</b>	Life & pension - mediation	Annual eligible income	£9,000,000.00	7,658.72	27,635.71		35,294.43
<b>SD01</b>	Investment - provision	Annual eligible income	£9,000,000.00	205.75	(205.75)		0.00
<b>SD02</b>	Investment - mediation	Annual eligible income	£1,000,000.00	5,067.29	16,131.70		21,198.99
<b>SE02</b>	Home finance - mediation	Annual eligible income	£2,500,000.00	(1,874.95)	1,874.95		0.00
<b>Total FCA Funding class levy</b>							<b>£75,276.59</b>
<b>Total Specific &amp; compensation cost levy</b>							<b>£75,352.24</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet**  
**Firm C**

**2014/2015**

Account No.

009999

Invoice No.

PFA14\_524965

Page

8

**Financial Ombudsman Service Levy**

Industry Block	Description	Tariff Base	Tariff Data	Gross Levy	Discount	Disc Code	£ Net Levy
I001	Deposit acceptors/home fin prvdrs	Number of relevant accounts	1,500,000	64,635.00			64,635.00
I005	Portfolio managers	Relevant funds under man	£950,000	270.00			270.00
I006	Mgrs/dep inv funds/op of CIS/pens	Relevant gross income	£420,000	65.00			65.00
I007	Firms dealing as principal	Number of relevant accounts	25	75.00			75.00
I008	Advrs/argrs (holding client money)	Relevant annual income	£2,500,000	395.00			395.00
I010	Corporate finance advisers	Relevant annual income	£1,500,000	55.00			55.00
I016	Home finance prvdrs/adv/arrgrs	Relevant annual income	£2,500,000	85.00			85.00
I017	General insurance mediation	Relevant annual income	£500,000	258.65			258.65
I020	Consumer credit full permission	Consumer credit income	2,500,000	35.00			35.00
<b>TOTAL</b>				<b>£65,873.65</b>			<b>£65,873.65</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations



# Invoice



Attn: The Compliance Officer  
Firm B  
Address 1  
Address 2  
Address 3  
Town PostCode

**Financial Conduct Authority**  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

Customer Contact Centre  
Tel: 0845 606 9966  
Email: [FCAfees@fca.org.uk](mailto:FCAfees@fca.org.uk)  
[www.fca.org.uk](http://www.fca.org.uk)

Account number	Invoice number	Invoice date	Payment due date
000999	PFA14_524968	01 July 2014	31 July 2014

## REGULATORY FEES & LEVIES: 2014/2015

Financial Conduct Authority Periodic Fee			£1,250.00
Money Advice Service Fee			£20.00
Financial Services Compensation Scheme Levy			£1,940.39
Financial Ombudsman Service Levy			£265.00
VAT Code	Outside Scope	Total	£ 3,475.39
VAT Registration No.	480 8791 09	V.A.T	0.00
VAT Rate 0%			

Where applicable, this invoice is raised by the Financial Conduct Authority on behalf of the Prudential Regulation Authority, the Money Advice Service, the Financial Ombudsman Service, the Financial Reporting Council and the Financial Services Compensation Scheme as the authorised collection agent.

<b>Amount Due</b>	<b>£ 3,475.39</b>
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## Financial Conduct Authority

Please make cheques payable to the 'Financial Conduct Authority' and return this portion with your remittance to:  
The Cashier, Revenue Department, The Financial Conduct Authority, 25 The North Colonnade, Canary Wharf,  
London E14 5HS, United Kingdom.



## Remittance Advice

Account Number      000999 Firm B  
Invoice Number      PFA14\_524968  
Invoice Date      01 July 2014

<b>Amount Due</b>	<b>£ 3,475.39</b>
<b>Cheque Number</b>	

<http://www.fca.org.uk/firms/being-regulated/fees>

## Ways to pay your invoice



### Direct Debit – the easiest way to pay

Simply go to our website and download the Direct Debit form, fill it in and return to us by 11 July 2014. Before sending the form please check that - your account number has 8 digits; your sort code has 6 digits; and your bank account can accept direct debits (your bank can confirm this), or you can telephone the Customer Contact Centre for details of how to create the Direct Debit instruction.

<http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>



### By Instalments

Regulatory fees may be paid by instalment. Simply complete the Premium Credit Limited agreement form on-line at <http://www.premium-credit.co.uk/fca.html> by 16 July 2014. The FCA, whilst not endorsing Premium Credit Limited over other credit providers, has agreed to publicise the company as the unanimous choice of designated trade associations.



### By BACS/CHAPS transfer

Funds should be transferred to the following account:

Account name: FCA Collection Account  
Bank name: Lloyds TSB Bank  
Account number: 00828179  
Sort code: 30-00-02  
SWIFT number: LOYD GB 2LCYT  
IBAN: GB 68 LOYD 3000 0200 8281 79  
Please reference your payment with your firm reference number 000999 and invoice number PFA14\_524968  
Please email your Remittance Advice and payment details to [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)



### By Post/Cheque

ALL cheques should be made payable to **The Financial Conduct Authority**, with your firm reference number 000999 written on the back. Please fill in the remittance advice overleaf and send it with your cheque to:  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
Attn : The Cashier - Revenue Dept.



### By Maestro/Debit card

Please complete the debit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>



### By credit card

Please complete the credit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>  
An additional 2% of the invoice value will be payable if Regulatory fee invoices are paid by credit card.

## Further information

### Calculation of fees

The general provisions that allow the FCA to charge fees to firms can be found in the FCA Handbook, FEES Manual, Chapter 2. This can be accessed at the following web address:

<http://fshandbook.info/FS/html/handbook/FEES/2>

Information about the types of fees the FCA and PRA charges, including those collected by the FCA for the Financial Ombudsman Service (FOS) and the Financial Services Compensation Scheme (FSCS), can be found at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/others>

Further details about how regulatory fees are calculated can be found at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/annual>

### Late payment and recovery of fees

If regulatory fees are not paid by the due date, a £250 surcharge will apply and interest will commence being charged on any unpaid amount at a rate of 5% above the Bank of England's repo rate.

Where payment is still not forthcoming, civil and/or regulatory action to recover the debt may be taken.

### Fee-Blocks, Tariff-bases, Tariff-rates and Tariff-data

Detailed information about specific fee-blocks, tariff-bases, tariff-rates and tariff-data can be found in the following sections of the FCA Handbook. These can be accessed from the FCA website, at the following web address:

<http://fshandbook.info/FS/html/handbook/FEES/4>

- **Fee-blocks and tariff-bases:** FEES Manual, Chapter 4, Annex 1AR (FCA) and Annex 1BR (PRA)

- **Tariff-rates:** FEES Manual, Chapter 4, Annex 2AR (FCA) and Annex 2BR (PRA)

- **Main fee rules:** FEES Manual, Chapter 4.

<http://fshandbook.info/FS/html/handbook/FEES/4>

For Money Laundering; Payment Services; Electronic Money and Covered Bonds regulation fee-blocks and tariff bases: FEES Manual Chapter 4, Annex 11

<http://fshandbook.info/FS/html/handbook/FEES/4/Annex11>

For Money Advice Service (MAS) fee blocks and tariff bases: FEES 7:

<http://fshandbook.info/FS/html/handbook/FEES/7>

For Consumer Credit Fees, FEES Manual, Chapter 4, Annex 2AR

<http://fshandbook.info/FS/html/handbook/FEES/4>

## Frequently asked questions

Before calling the Customer Contact Centre, please check that your query is not covered in our list of common queries, which can be accessed at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/faqs>

## Getting in touch with us

### Customer Contact Centre

Contact the Customer Contact Centre if you have a query on this invoice or making payment.



Phone 0845 606 9966



Email [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)

**Financial Services Compensation Scheme (FSCS)** – FEES Manual, Chapter 6  
<http://fshandbook.info/FS/html/handbook/FEES/6>

**Financial Ombudsman Service (FOS)** – FEES Manual, Chapter 5  
<http://fshandbook.info/FS/html/handbook/FEES/5>

**Financial Reporting Council (FRC)** – Details of the FRC levy and its latest publication regarding its levy can be found on their website at <http://www.frc.org.uk/About-the-FRC/Annual-Reports-and-Plans/Funding.aspx>

Online Fee Calculator is available on our website:  
<http://www.fca.org.uk/firms/being-regulated/fees/calculator>

The calculator can be used to provide detailed breakdowns of the FCA and PRA fees, MAS, FSCS and FOS levies.

**Fee calculation sheet**  
**Firm B**

**2014/2015**

Account No. 000999  
Invoice No. PFA14\_524968  
Page 3

**Financial Conduct Authority Periodic Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	Deduction	Deduct Code	£ Net Fee
<b>A000</b>	Minimum Fee	Minimum fee - code	5	1,000.00					1,000.00
<b>A013</b>	Advrs/argrs (not hold client money)	Annual income	£100,000	0.00			0.00	F	0.00
<b>A018</b>	Home finance prvdrs/adv/arrgrs	Annual income	£85,000	0.00			0.00	F	0.00
<b>A019</b>	General insurance mediation	Annual income	£80,000	0.00			0.00	F	0.00
<b>AP00</b>	Prudential fee	FCA conduct fees	£0	0.00					0.00
<b>CC01</b>	Consumer credit limited permission	Consumer credit income	50,000	250.00					250.00
<b>TOTAL</b>				<b>£1,250.00</b>			<b>£0.00</b>		<b>£1,250.00</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
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**Fee calculation sheet**  
**Firm B**

**2014/2015**

Account No.

000999

Invoice No.

PFA14\_524968

Page

4

**Money Advice Service Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	£ Net Fee
<b>MAS-A000</b>	Minimum Fee	Minimum fee - code	5	10.00			10.00
<b>MAS-A013</b>	Advrs/argrs (not hold client money)	Annual income	£100,000	0.00			0.00
<b>MAS-A018</b>	Home finance prvdrs/adv/arrgrs	Annual income	£85,000	0.00			0.00
<b>MAS-A019</b>	General insurance mediation	Annual income	£80,000	0.00			0.00
<b>MAS-CC01</b>	Consumer credit limited permission	Consumer credit income	50,000	10.00			10.00
<b>TOTAL</b>				<b>£20.00</b>			<b>£20.00</b>

**Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)**

Further information					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
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**Fee calculation sheet**  
**Firm B**

**2014/2015**

Account No.

000999

Invoice No.

PFA14\_524968

Page

5

**Financial Services Compensation Scheme Levy**

**Base Costs**

Cont. Group	Description	Tariff Base	Tariff Data	Base Costs	£ Total Levy
<b>A000</b>	Minimum Fee	FCA fee	£1,000.00	10.70	
					10.70
<b>A013</b>	Advrs/argrs (not hold client money)	FCA fee	£0.00	0.00	
					0.00
<b>A018</b>	Home finance prvdrs/adv/argrs	FCA fee	£0.00	0.00	
					0.00
<b>A019</b>	General insurance mediation	FCA fee	£0.00	0.00	
					0.00
<b>AP00</b>	Prudential fee	FCA fee	£0.00	0.00	
					0.00
<b>Total FCA FSCS Funding</b>					<b>£10.70</b>
<b>Total Base Cost</b>					<b>£10.70</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet**  
**Firm B**

**2014/2015**

Account No. 000999  
Invoice No. PFA14\_524968  
Page 6

**Specific and Compensation Costs**

Class	Description	Tariff-Base	Tariff-Data	Class Specific Cost	Class Compensation Costs	Retail Pool Costs	£ Total Levy
<b>SB02</b>	General insurance - mediation	Annual eligible income	£80,000.00	94.62	406.26		500.88
<b>SC02</b>	Life & pension - mediation	Annual eligible income	£40,000.00	34.04	122.83		156.87
<b>SD02</b>	Investment - mediation	Annual eligible income	£60,000.00	304.04	967.90		1,271.94
<b>SE02</b>	Home finance - mediation	Annual eligible income	£85,000.00	(63.75)	63.75		0.00

**Total FCA Funding class levy £1,929.69**

**Total Specific & compensation cost levy £1,929.69**

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

**Fee calculation sheet**  
**Firm B**

**2014/2015**

Account No.

000999

Invoice No.

PFA14\_524968

Page

7

**Financial Ombudsman Service Levy**

Industry Block	Description	Tariff Base	Tariff Data	Gross Levy	Discount	Disc Code	£ Net Levy
<b>I009</b>	Advrs/argrs (not hold client money)	Relevant annual income	£100,000	45.00			45.00
<b>I016</b>	Home finance prvdrs/adv/arrgrs	Relevant annual income	£85,000	85.00			85.00
<b>I017</b>	General insurance mediation	Relevant annual income	£80,000	100.00			100.00
<b>I019</b>	Consumer credit limited permission	Flat FOS levy	0	35.00			35.00
<b>TOTAL</b>				<b>£265.00</b>			<b>£265.00</b>

**Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)**

Partner Information					
Discounts and Deductions (see also FCA Handbook, E20-01 Annex 2A & 2B)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations





# Invoice



Attn: The Compliance Officer  
Firm D  
Address 1  
Address 2  
Address 3  
Town PostCode

**Financial Conduct Authority**  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

Customer Contact Centre  
Tel: 0845 606 9966  
Email: FCAfees@fca.org.uk  
www.fca.org.uk

Account number	Invoice number	Invoice date	Payment due date
099999	PFA14_524978	01 July 2014	31 July 2014

## REGULATORY FEES & LEVIES: 2014/2015

Financial Conduct Authority Periodic Fee			£501.75
Money Advice Service Fee			£10.00
Financial Ombudsman Service Levy			£35.00
VAT Code	Outside Scope	Total	£ 546.75
VAT Registration No.	480 8791 09	V.A.T	0.00
VAT Rate 0%			

Where applicable, this invoice is raised by the Financial Conduct Authority on behalf of the Prudential Regulation Authority, the Money Advice Service, the Financial Ombudsman Service, the Financial Reporting Council and the Financial Services Compensation Scheme as the authorised collection agent.

**Amount Due £ 546.75**

## Financial Conduct Authority

Please make cheques payable to the 'Financial Conduct Authority' and return this portion with your remittance to:  
The Cashier, Revenue Department, The Financial Conduct Authority, 25 The North Colonnade, Canary Wharf,  
London E14 5HS, United Kingdom.



## Remittance Advice

Account Number 099999 Firm D  
Invoice Number PFA14\_524978  
Invoice Date 01 July 2014

**Amount Due £ 546.75**  
**Cheque Number**

<http://www.fca.org.uk/firms/being-regulated/fees>

Registered as a limited company in England and Wales number 1920623. Registered office as above.

## Ways to pay your invoice



### Direct Debit – the easiest way to pay

Simply go to our website and download the Direct Debit form, fill it in and return to us by 11 July 2014. Before sending the form please check that - your account number has 8 digits; your sort code has 6 digits; and your bank account can accept direct debits (your bank can confirm this), or you can telephone the Customer Contact Centre for details of how to create the Direct Debit instruction.

<http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>



### By Instalments

Regulatory fees may be paid by instalment. Simply complete the Premium Credit Limited agreement form on-line at <http://www.premium-credit.co.uk/fca.html> by 16 July 2014. The FCA, whilst not endorsing Premium Credit Limited over other credit providers, has agreed to publicise the company as the unanimous choice of designated trade associations.



### By BACS/CHAPS transfer

Funds should be transferred to the following account:

Account name: FCA Collection Account  
Bank name: Lloyds TSB Bank  
Account number: 00828179  
Sort code: 30-00-02  
SWIFT number: LOYD GB 2LCY  
IBAN: GB 68 LOYD 3000 0200 8281 79  
Please reference your payment with your firm reference number 099999 and invoice number PFA14\_524978  
Please email your Remittance Advice and payment details to [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)



### By Post/Cheque

ALL cheques should be made payable to **The Financial Conduct Authority**, with your firm reference number 099999 written on the back. Please fill in the remittance advice overleaf and send it with your cheque to:  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
Attn : The Cashier - Revenue Dept.



### By Maestro/Debit card

Please complete the debit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>



### By credit card

Please complete the credit card form on our website at <http://www.fca.org.uk/firms/being-regulated/fees/annual/Payment-methods>  
An additional 2% of the invoice value will be payable if Regulatory fee invoices are paid by credit card.

## Further information

### Calculation of fees

The general provisions that allow the FCA to charge fees to firms can be found in the FCA Handbook, FEES Manual, Chapter 2. This can be accessed at the following web address:

<http://fshandbook.info/FS/html/handbook/FEES/2>

Information about the types of fees the FCA and PRA charges, including those collected by the FCA for the Financial Ombudsman Service (FOS) and the Financial Services Compensation Scheme (FSCS), can be found at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/others>

Further details about how regulatory fees are calculated can be found at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/annual>

### Late payment and recovery of fees

If regulatory fees are not paid by the due date, a £250 surcharge will apply and interest will commence being charged on any unpaid amount at a rate of 5% above the Bank of England's repo rate.

Where payment is still not forthcoming, civil and/or regulatory action to recover the debt may be taken.

### Fee-Blocks, Tariff-bases, Tariff-rates and Tariff-data

Detailed information about specific fee-blocks, tariff-bases, tariff-rates and tariff-data can be found in the following sections of the FCA Handbook. These can be accessed from the FCA website, at the following web address:

<http://fshandbook.info/FS/html/handbook/FEES/4>

- **Fee-blocks and tariff-bases:** FEES Manual, Chapter 4, Annex 1AR (FCA) and Annex 1BR (PRA)

- **Tariff-rates:** FEES Manual, Chapter 4, Annex 2AR (FCA) and Annex 2BR (PRA)

- **Main fee rules:** FEES Manual, Chapter 4.

<http://fshandbook.info/FS/html/handbook/FEES/4>

For Money Laundering; Payment Services; Electronic Money and Covered Bonds regulation fee-blocks and tariff bases: FEES Manual Chapter 4, Annex 11

<http://fshandbook.info/FS/html/handbook/FEES/4/Annex11>

For Money Advice Service (MAS) fee blocks and tariff bases: FEES 7:

<http://fshandbook.info/FS/html/handbook/FEES/7>

For Consumer Credit Fees, FEES Manual, Chapter 4, Annex 2AR

<http://fshandbook.info/FS/html/handbook/FEES/4>

## Frequently asked questions

Before calling the Customer Contact Centre, please check that your query is not covered in our list of common queries, which can be accessed at the following web address:

<http://www.fca.org.uk/firms/being-regulated/fees/faqs>

## Getting in touch with us

### Customer Contact Centre

Contact the Customer Contact Centre if you have a query on this invoice or making payment.

Phone 0845 606 9966

Email [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)

**Financial Services Compensation Scheme (FSCS)** – FEES Manual, Chapter 6  
<http://fshandbook.info/FS/html/handbook/FEES/6>

**Financial Ombudsman Service (FOS)** – FEES Manual, Chapter 5  
<http://fshandbook.info/FS/html/handbook/FEES/5>

**Financial Reporting Council (FRC)** – Details of the FRC levy and its latest publication regarding its levy can be found on their website at <http://www.frc.org.uk/About-the-FRC/Annual-Reports-and-Plans/Funding.aspx>

Online Fee Calculator is available on our website:  
<http://www.fca.org.uk/firms/being-regulated/fees/calculator>

The calculator can be used to provide detailed breakdowns of the FCA and PRA fees, MAS, FSCS and FOS levies.

**Fee calculation sheet**  
**Firm D**

**2014/2015**

Account No. 099999  
Invoice No. PFA14\_524978  
Page 3

**Financial Conduct Authority Periodic Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	Deduction	Deduct Code	£ Net Fee
<b>CC01</b>	Consumer credit limited permission	Consumer credit income	255,000	501.75					501.75
<b>TOTAL</b>				<b>£501.75</b>					<b>£501.75</b>

**Money Advice Service Fee**

Fee Block	Description	Tariff Base	Tariff Data	Gross Fee	Discount	Disc Code	£ Net Fee
<b>MAS-CC01</b>	Consumer credit limited permission	Consumer credit income	255,000	10.00			10.00
<b>TOTAL</b>				<b>£10.00</b>			<b>£10.00</b>

**Financial Ombudsman Service Levy**

Industry Block	Description	Tariff Base	Tariff Data	Gross Levy	Discount	Disc Code	£ Net Levy
<b>I019</b>	Consumer credit limited permission	Flat FOS levy	255,000	35.00			35.00
<b>TOTAL</b>				<b>£35.00</b>			<b>£35.00</b>

Further information – Discounts and Deductions (see also FCA Handbook, FEES 4 Annex 2AR & 11R)					
1 Discount Codes	EB = EEA authorised firm (branch), H = A.7 Class 1 (B) firm, O = OPS firm (A.7 Class 1 (A))				
	M01 – M12 = pro-rata discounts	Periodic fees for New Joining firms and firms extending permissions, are invoiced on a pro-rata basis depending on the month their authorisation is granted, e.g. M01 = April, M02 = May.			
2 Deduction Codes	Rebate due to financial penalties received during the previous financial year under:				
	F = FSMA	P = Payment Services Regulations	E = E-money Regulations	C = Covered Bond Regulations	L = Money Laundering Regulations

