

**Application for Authorisation  
  
Fees and levies supplement – Retail firms**

**Full name of applicant firm**

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**Important information you should read before completing this form**

The notes that accompany this supplement will help you complete the questions. They also explain why we require the information we ask you for.

For further help on this supplement, please refer to the notes and to the rules at [www.handbook.fca.org.uk/handbook/FEES/4/Annex1A.html](http://www.handbook.fca.org.uk/handbook/FEES/4/Annex1A.html) (FEES 4 Annex 1A)

Please note:

* When reporting monetary fee tariff data, firms should provide a projected valuation covering the first 12 months from the date of authorisation measured according to the relevant tariff base(s).
* Monetary figures should be denominated in GBP. Please round your answers up for this section to the nearest whole number.
* Take care to be as accurate as possible - a poor estimate or forecast is unlikely to be grounds to revise fees at a later stage.
* If the answer is 'nil' please write 'nil' – do not leave any boxes blank.

**Purpose of this form**

We require this information so we can calculate the applicant firm's annual FCA fees once they become authorised. We will also use this information to calculate the levies for the Money Advice Service (MAS) and the levies for the Ombudsman Service and where relevant, the Financial Services Compensation Scheme (FSCS).

The permission we grant the applicant firm will allocate it to one or more fee blocks. Each fee block uses the tariff data provided in the sections below to calculate the applicant firm’s regulatory fees and levies. The firm will be billed on the information supplied here for the first fee year of being authorised and in some cases also for the subsequent fee year.

|  |  |
| --- | --- |
|  | Fees and levies – Retail firms |

FCA fees

**1.1 Fee block A.13 – Advisers, arrangers, dealers or brokers**

**How much annual income does the applicant firm estimate for the first year of authorisation in relation to the regulated activities for fee-block A.13 ie advisors, arrangers, dealers or brokers?**

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.2 Fee block A.18 – Home finance providers, advisers and arrangers

How much annual income does the applicant firm estimate for the first year of authorisation in relation to its home finance mediation business (including home reversion, home purchase and regulated sale and rent back activities)?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.3 Fee block A.19 – General insurance distribution

How much annual income does the applicant firm estimate for the first year of authorisation in relation to its non-investment insurance contracts business?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.4 Fee block A.21 – Firms holding client money or assets, or both

**What is the highest value of client money and/or safe custody assets the applicant firm expects to hold during the first year of authorisation?**

**Client money**

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

**Safe custody assets**

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.5 Fee block CC.02 – Credit-related regulated activities

**How much annual income does the applicant firm estimate for the first year of authorisation in relation to credit related regulated activities? Annual income for credit related regulated activities is defined in FEES 4 Annex 11B R.**

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

The Ombudsman Service (FOS) general levy

For the purposes of the Ombudsman Service general levy, a firm will fall into one or more industry blocks depending on the business activities it has permission for. This levy only covers business conducted with **consumers**. As a result, the data reported under the Ombudsman Service general levy can be lower than that reported under the FCA fees section.If the applicant firm does not conduct any business with eligible complainants, it may apply for Ombudsman Service exemption.

**1.6 The ombudsman service’s industry block I008/I009 – Advisers, arrangers, dealers or brokers**

**How much relevant annual income does the applicant firm estimate for the first year of authorisation in relation to advisers, arrangers, dealers or brokers?**

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.7 The ombudsman service’s industry block I016 – Home finance providers, advisers and arrangers

How much relevant annual income does the applicant firm estimate for the first year of authorisation in relation to its home finance mediation business?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.8 The ombudsman service’s industry block I017 – General insurance distribution

How much relevant annual income does the applicant firm estimate for the first year of authorisation in relation to its non-investment insurance contracts business?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

Financial Services Compensation Scheme (FSCS) Levy

The FSCS levy only covers business that could give rise to a protected claim from an **eligible claimant**. As a result, the data reported under the FSCS levy can be lower than that reported under the FCA fees section. If the applicant firm does not conduct any business that could give rise to a protected claim from an eligible claimant it may apply for FSCS exemption.

Newly authorised firms are not liable to contribute towards the FSCS specific and compensation costs in the first fee year. We will only use the information here for calculating the FSCS levy in the second fee year where a firm obtains authorisation in the last quarter of the fee year.

1.9 Class B2 / Category 1.1 – General insurance distribution

How much annual eligible income does the applicant firm estimate for the first year of authorisation in relation to its non-investment insurance contracts business?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.10 Class C2 / Category 2.1 – Life distribution and pensions distribution

How much annual eligible income does the applicant firm estimate for the first year of authorisation in relation to its life and pensions distribution business?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.11 Class D2 / Category 2.2 – Investment mediation

How much annual eligible income does the applicant firm estimate for the first year of authorisation in relation to its investment mediation business?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

1.12 Class E2 / Category 4.1 – Home finance mediation

How much annual eligible income does the applicant firm estimate for the first year of authorisation in relation to its home finance mediation business?

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

Declaration of ongoing FCA fees liability

1.13 You must confirm that the applicant firm understands that it is liable and remains liable to pay fees until such time as the FCA cancels its permission. This is irrespective of whether it is trading, or even if it has notified us of intention to cease trading or submitted an application to cancel.

Yes