

PERIODIC FEES (2017/2018) AND OTHER FEES INSTRUMENT 2017

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of:
- (1) the following powers and related provisions in or under the Financial Services and Markets Act 2000 (“the Act”):
 - (a) section 73A (Part 6 Rules);
 - (b) section 137A (The FCA’s general rules);
 - (c) section 137T (General supplementary powers);
 - (d) section 213 (The scheme);
 - (e) section 214 (Provisions of the scheme);
 - (f) section 234 (Industry funding);
 - (g) section 333Q (Funding of the FCA’s pensions guidance costs);
 - (h) section 333R (Funding of the Secretary of State’s pensions guidance costs);
 - (i) section 333T (Funding of action against illegal money lending);
 - (j) paragraph 23 (Fees) in Part 3 (Penalties and Fees) of Schedule 1ZA (The Financial Conduct Authority); and
 - (k) paragraph 12 in Part 2 (Funding) of Schedule 1A (Further provision about the Consumer Financial Education Body); and
 - (2) regulation 92 (Costs of supervision) of the Payment Services Regulations 2009 (SI 2009/209);
 - (3) regulation 59 (Costs of supervision) of the Electronic Money Regulations 2011 (SI 2011/99);
 - (4) regulation 46 and paragraph 5 of Schedule 1 (Fees) in the Regulated Covered Bond Regulations 2008 (SI 2008/346); and
 - (5) article 25 (Application of provisions of the Act to the FCA in respect of its supervision of consumer buy-to-let mortgage firms) of the Mortgage Credit Directive Order 2015 (SI 2015/910).
- B. The rule-making powers listed above are specified for the purpose of section 138G (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 3 July 2017.

Amendments to the Handbook

- D. The Glossary of definitions is amended in accordance with Annex A to this instrument.

E. The Fees manual (FEES) is amended in accordance with Annex B to this instrument.

Citation

F. This instrument may be cited as the Periodic Fees (2017/2018) and Other Fees Instrument 2017.

By order of the Board
22 June 2017

Annex A

Amendments to the Glossary of definitions

In this Annex, underlining indicates new text and striking through indicates deleted text unless otherwise indicated.

Amend the following as shown.

<i>assets outside expected RFB subgroups</i>	the assets of a <i>ring-fencing fees group</i> which its <i>ring-fencing business plan</i> indicated were <u>it has advised the <i>PRA</i> are</u> not intended to be held within <u>by</u> a <i>ring-fenced body</i> or its <i>UK subgroup</i> for <i>ring-fencing</i> purposes on <u>from</u> 1 January 2019.
<i>ring-fencing fees group</i>	a banking group, or part of a banking group, which (i) has submitted a <i>ring-fencing business plan</i> <u>forecasts to the <i>PRA</i> indicating that, from 1 January 2019, it will not meet the <i>core deposit</i> level condition in article 12 of the FSMA (Ring-fenced Bodies and Core Activities) Order 2014</u> and (ii) was <u>has been</u> notified by the <i>FCA</i> on or prior to <u>between</u> 1 May 2016 <u>and</u> 1 May 2017 that a fee relating to <u>the implementation of <i>ring-fencing</i></u> would <u>will</u> be payable by one or more members of its group.

Delete the following definition. The text is not shown struck through.

<i>ring-fencing business plan</i>	a near final business plan submitted to the <i>PRA</i> on or before 1 March 2016 setting out a <i>firms'</i> proposals for <i>ring-fencing</i> .
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Annex B

Amendments to the Fees manual (FEES)

In this Annex, underlining indicates new text and striking through indicates deleted text.

4 Periodic fees

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4.2 Obligation to pay periodic fees

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4.2.7K R ...

Table A: calculating tariff data for second and subsequent years of authorisation when full trading figures are not available

Fee-block	Tariff base	Calculation where trading data are not available
...		
G.1 Firms registered under the Money Laundering Regulations	Flat fee	Not applicable.
...		

...

4.2.11R Table of periodic fees payable to the FCA

1 Fee payer	2 Fee payable	3 Due date	4 Events occurring during the period leading to modified periodic fee
...			
<i>Persons</i> who hold a certificate issued by the FCA under article 54 of	£ 1,084 <u>1,095</u>	(1) Unless (2) applies, on or before 1 August or, if later, within 30 days of the date of the invoice	Certificate issued to <i>person</i> by FCA under Article <u>article</u> 54 RAO

the <i>Regulated Activities Order</i> (Advice given in newspapers etc.)		(2) If an event in column 4 occurs during the course of a <i>fee year</i> , 30 days after the occurrence of that event	
...			

4 Annex FCA activity groups, tariff bases and valuation dates 1AR

Part 1	
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...	
Activity group	Fee payer falls in the activity group if
...	
B. Market operators	<p>(1) firms that were prescribed as an operator of a <i>prescribed market</i> under the Financial Services and Markets Act 2000 (Prescribed Markets and Qualifying Investments) Order 2001 (SI 2001/996); and</p> <p>(2) firms that are prescribed as a market operator, as defined in article 4(1)(13) of <i>MiFID</i>.</p>
...	

Part 3	
...	
Activity group	Tariff base
...	
B. Market operators	Not applicable.
...	

Part 5	
...	
Activity group	Valuation date
...	
B. Market operators	Not applicable.
...	

4 Annex 2AR FCA Fee rates and EEA/Treaty firm modifications for the period from 1 April 2017 to 31 March 2018

Part 1		
...		
...		
Activity group	Fee payable	
A.1	Band width (£million of Modified Eligible Liabilities (MELs))	Fee (£/£m or part £m of MELs)
		General Periodic fee
	>10 - 140	17.49 <u>15.43</u>
	>140 - 630	17.49 <u>15.43</u>
	>630 - 1,580	17.49 <u>15.43</u>
	>1,580 - 13,400	21.86 <u>19.29</u>
	>13,400	28.86 <u>25.46</u>
	The tariff rates in A.1 are not relevant for the <i>permissions</i> relating to <i>operating a dormant account fund</i> . Instead a flat fee of £6,000 <u>£6,060</u> is payable in respect of these <i>permissions</i>	
A.2	Band width (No. of mortgages and/or home finance)	Fee (£/mortgage)

	transactions)	
	>50	2.55 <u>2.30</u>
A.3	Gross premium income (GPI)	Periodic fee
	Band Width (£million of GPI)	Fee (£/m or part m of GPI)
	>0.5	327.00 <u>345.71</u>
	PLUS	
	Gross technical liabilities (GTL)	General Periodic fee
	Band Width (£million of GTL)	Fee (£/£m or part £m of GTL)
	>1	17.68 <u>18.53</u>
	For <i>UK ISPVs</i> the tariff rates are not relevant and a flat fee of £466 <u>£471</u> is payable in respect of each <i>FCA</i> financial year (the 12 <i>months</i> ending 31 March).	
A.4	Adjusted annual gross premium income (AGPI)	General Periodic fee
	Band Width (£million of AGPI)	Fee (£/£m or part £m of AGPI)
	>1	512.00 <u>525.91</u>
	PLUS	
	Mathematical reserves (MR)	General Periodic fee
	Band Width (£million of MR)	Fee (£/£m or part £m of MR)
	>1	10.86 <u>11.08</u>
A.5	Band Width (£million of Active Capacity (AC))	Fee (£/£m or part £m of AC)
	>50	8.31 <u>7.70</u>
A.6	Flat fee (£)	327,149 334,939
A.7	For class 1(C), (2) , (3) and (4) <i>firms</i> :	
	Band Width (£million of	Fee (£/£m or part £m of FuM)

	Funds under Management (FuM))	
	>10	7.08 <u>6.09</u>
	For class 1(B) <i>firms</i> : the fee calculated as for class 1(C) <i>firms</i> above, less 15%. For class 1(A) <i>firms</i> : the fee calculated as for class 1(C) <i>firms</i> above, less 50%.	
A.9	Band Width (£million of Gross Income (GI))	Fee (£/£m or part £m of GI)
	>1	982.68 <u>1,003.52</u>
A.10	Band Width (No. of traders)	Fee (£/person)
	>1	5,033.00 <u>5,473.78</u>
	For <i>firms</i> carrying on <i>auction regulation bidding</i> , the fee in A.10 is calculated as above less 20% for each trader that carries on <i>auction regulation bidding</i> but not <i>MiFID business bidding</i> or <i>dealing in investments as principal</i> .	
A.13	Band Width (£ thousands of annual income (AI))	Fee (£/£ thousand or part £ thousand of AI)
	>100	2.83 <u>2.756</u>
A.14	Band Width (£ thousands of annual income (AI))	Fee (£/£ thousand or part £ thousand of AI)
	>100	1.98 <u>1.79</u>
A.18	Band Width (£ thousands of Annual Income (AI))	Fee (£/£ thousand or part £ thousand of AI)
	>100	15.36 <u>12.44</u>
A.19	Band Width (£ thousands of Annual Income (AI))	Fee (£/£ thousand or part £ thousand of AI)
	>100	1.85 <u>1.751</u>
A.21	<i>Client money</i>	
	Band Width (£ <i>client money</i>) (CM) held	Fee (£/£ millions or part £ million of CM)
	less than £1 million	128.20 <u>116.50</u>
	an amount equal to or greater than £1 million but less than	96.15 <u>87.38</u>

	or equal to £1 billion	
	more than £1 billion	64.10 <u>58.25</u>
	PLUS	
	<i>Safe custody assets</i>	
	Band Width (£ <i>safe custody assets</i>) (CA) held	Fee (£/£ millions or part £ million of CA)
	less than £10 million	0.51 <u>0.45</u>
	an amount equal to or greater than £10 million and less than or equal to £100 billion	0.39 <u>0.34</u>
	more than £100 billion	0.26 <u>0.23</u>
B. Market operators		48,216
B. Service Companies	Band Width	Fee (£/£m or part £ thousand of income)
	Annual income up to and including £100,000	{tbc} <u>1,078.00</u>
	Annual income over £100,000	{tbc} <u>1.80</u>
B. Principal benchmark administrators	£196,800	
...		
B. Recognised auction platforms	{tbc} <u>53,537.00</u>	
B. Recognised overseas investment exchanges	{tbc} <u>61,224.00</u>	
B. MTF operators	As set out in <i>FEES</i> 4 Annex 10 (Periodic fees for MTF operators).	
CC1. Credit-related	Band Width (£ thousands of annual income (AI))	Fee (£)

regulated activities with limited permission	0 - 10	100 <u>101</u>
	>10 - 50	250 <u>253</u>
	>50 - 100	400 <u>404</u>
	>100	500 <u>505</u>
	PLUS:	
		Fee (£/£ thousand or part £ thousand of AI)
	>250	0.40
CC2. Credit-related regulated activities	Band Width (£ thousands of annual income (AI))	Fee (£)
	0 - 50	300 <u>303</u>
	>50 - 100	500 <u>505</u>
	>100	1,000 <u>1,010</u>
	PLUS:	
		Fee (£/£ thousand or part £ thousand of AI)
	>250	1.30

Part 2

...

Part 2(a) tariff rates (minimum fees) payable to the *FCA* by *FCA-authorised persons*

A.0	(1)	£1,084 <u>1,095</u> unless it is a <i>community finance organisation</i> with a tariff base of:
	(a)	up to and including 3 mortgages and/or <i>home finance transactions</i> , in which case a minimum fee of £166 <u>168</u> is payable; or

	(b)	more than 3 but no more than 10 mortgages and/or <i>home finance transactions</i> , in which case a minimum fee of £562 <u>568</u> is payable; or
	(c)	more than 10 but no more than 50 mortgages and/or <i>home finance transactions</i> , in which case a minimum fee of £1,042 <u>1,052</u> is payable.
	...	
AP.0	Periodic fees payable under fee blocks A.2, A.7 to A.19 and A. 21 in Part 1 multiplied by rate £0.118 <u>0.111</u>	

Part 2(b) tariff rates (minimum fees) payable to the <i>FCA</i> by <i>PRA-authorised persons</i>			
A.0	(1)	£542 <u>547</u> unless:	
	(a)		It is a <i>credit union</i> that meets the conditions in (2), in which case the minimum fee payable is as set out in (2);
	(b)		it is a <i>non-directive friendly society</i> that falls into the A.3 activity group but not the A.4 activity group and meets the conditions set out in (3)(a), in which case the minimum fee payable is £233 <u>235</u> ; or
	(c)		it is a <i>non-directive friendly society</i> that falls into the A.4 activity group but not the A.3 activity group and meets the conditions in (3)(b), in which case the minimum fee payable is £233 <u>235</u> ; or
	(d)		it is a <i>non-directive friendly society</i> that falls into the A.3 and A.4 activity groups and meets the conditions in (3)(a) and (3)(b), in which case the minimum fee payable is £233 <u>235</u> .
	(2)	The conditions referred to in (1)(a) are that the credit union has a tariff base (Modified Eligible Liabilities) of:	
	(a)		0 to 0.5million, in which case a minimum fee of £86 <u>87</u> is payable; or
	(b)		greater than 0.5million but less than 2.0million, in which case a minimum fee of £292 <u>295</u> is payable.

	(3)	The conditions referred to in (1) are that:	
		(a)	the <i>non-directive friendly society</i> falls into the A.3 activity group and has, for that activity, 0.5 million or less in gross <i>premium</i> income and holds gross technical liabilities of 1.0 million or less;
		(b)	the <i>non-directive friendly society</i> falls into the A.4 activity group and has, for that activity, written 1.0 million or less in adjusted gross <i>premium</i> income and holds mathematical reserves of 1.0 million or less.
	The figures for gross <i>premium</i> income, gross technical liabilities, adjusted gross <i>premium</i> income and mathematical reserves are the same as used for Part 1 of this Annex.		

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4 Annex 2BR Ring-Fencing Implementation Fee

In the <i>fee year</i> starting 1 April 2016 <u>2017</u> and subsequent <i>fee years</i> :	
...	
(4)	<p>The proportion was determined by the <i>FCA</i> as at 1 March 2016 <u>for the 2017/18 <i>fee year</i></u> in accordance with the following formula (all figures are rounded to the nearest whole number):</p> $[(X + Y) \div 2] \%$ <p>where</p> $X = [\text{core deposits (ring-fencing fees group)} \div \text{core deposits (all ring-fencing fees groups)}] \times 100$ <p>and</p> $Y = [\text{assets outside expected RFB subgroup (ring-fencing fees group)} \div \text{assets outside expected RFB subgroups (all ring fencing fees groups)}] \times 100$
(5)	...

4 Annex 3AR Fees relating to the direct reporting of transactions to the FCA under SUP 17 for the period 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018

This table shows the fees payable by a <i>firm</i> , a third party acting on behalf of a <i>firm</i> , an <i>approved reporting mechanism</i> , an operator of a <i>regulated market</i> or an operator of an <i>MTF</i> that makes <i>transaction reports</i> directly to the <i>FCA</i> under <i>SUP 17</i> (Transaction reporting).	
Fee	Fee amount (£)
Technical support fee	4,444 <u>5,000</u>
Testing environment fee	3,333 <u>3,750</u>
Variable transaction-based fee	4.56 <u>3.91</u> per 100,000 <i>transaction reports</i> or part 100,000 <i>transaction reports</i> processed during the calendar year ending 31 December before the <i>fee year</i> to which the fee relates

4 Annex 4R Periodic fees in relation to collective investment schemes, AIFs marketed in the UK and small registered UK AIFMs payable for the period 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018

Part 1 – Periodic fees payable

Scheme type	Basic fee (£)	Total funds/sub-funds aggregate	Fund factor	Fee
<i>ICVC</i> , <i>AUT</i> , <i>ACS</i> , <i>UK ELTIFs</i> , Section 264 of the <i>Act</i> , <i>schemes</i> other than <i>non-EEA AIFs</i> recognised under section 272 of the <i>Act</i> ,	455 <u>410</u>	1-2	1	455 <u>410</u>
		3-6	2.5	1,138 <u>1,025</u>
		7-15	5	2,275
		16-50	11	<u>2,050</u>
		>50	22	5,005 <u>4,510</u>
<i>Non-EEA AIFs</i> recognised under section 272 of the <i>Act</i>	1,850 <u>1,670</u>	1-2	1	1,850 <u>1,670</u>
		3-6	2.5	4,625
		7-15	5	<u>4,175</u>
				<u>9,250</u>

		16-50	11	<u>8,350</u>
		>50	22	<u>20,350</u>
				<u>18,370</u>
				<u>40,700</u>
				<u>36,740</u>

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Part 2 - Periodic fees for *AIFs* marketed in the *UK*, following a notification to the *FCA* under regulation 57, 58 or 59 of the *AIFMD UK regulation*

Kind of notification	Fee per <i>AIF</i> (£)
Notification under regulation 57 of the <i>AIFMD UK regulation</i>	380 <u>345</u>
Notification under regulation 58 of the <i>AIFMD UK regulation</i>	265 <u>240</u>
Notification under regulation 59 of the <i>AIFMD UK regulation</i>	380 <u>345</u>

Part 3 - Periodic fees paid by *small registered UK AIFMs*

The annual fee for *small registered UK AIFMs* is ~~£750~~ 680

4 Annex 5R Periodic fees for designated professional bodies payable in relation to the period 1 April 2016 2017 to 31 March 2017 2018

Table of fees payable by Designated Professional Bodies

Name of Designated Professional Body	Amount payable (£)
The Law Society of England & Wales	63,140 <u>62,430</u>
The Law Society of Scotland	13,560 <u>13,390</u>
The Law Society of Northern Ireland	12,680 <u>12,520</u>
The Institute of Actuaries	10,090 <u>10,070</u>
The Institute of Chartered Accountants in England and	69,270 <u>68,770</u>

Wales	
The Institute of Chartered Accountants of Scotland	10,980 <u>10,920</u>
The Institute of Chartered Accountants in Ireland	13,140 <u>13,130</u>
The Association of Chartered Certified Accountants	15,850 <u>15,900</u>
The Council for Licensed Conveyancers	11,170
Royal Institution of Chartered Surveyors	13,380 <u>13,400</u>

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4 Annex 10R Periodic fees for MTF operators payable in relation to the period 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018

General supervisory category of <i>MTF</i> operator (see Note below)	Fee payable (£)	Due date
		(i) 1 August 2016; or (ii) 30 days from the date of the invoice in the case of a <i>firm</i> which receives <i>permission</i> to be operating a <i>multilateral trading facility</i> or whose <i>permission</i> is extended to include this activity in the course of the relevant financial year.
<i>MTF</i> operator has a named individual fixed portfolio supervisor	300,000 <u>316,710</u>	
All other <i>MTF</i> operators (i.e. those supervised by a team of flexible portfolio supervisors)	28,290 <u>29,867</u>	
[deleted]		
an <i>EEA firm</i>	0	
...		

4 Annex 11R Periodic fees in respect of payment services, electronic money, and regulated covered bonds

This Annex sets out the periodic fees in respect of *payment services* carried on by *fee-paying payment service providers* under the *Payment Services Regulations* and electronic money issuance by *fee-paying electronic money issuers* under the *Electronic Money Regulations* and issuance of *regulated covered bonds* by issuers and *CBTL business* carried on by *CBTL firms* under the *MCD Order* ~~and firms registered under the Money Laundering Regulations~~ in relation to the period 1 April 2017 to 31 March 2018

Part 1 - Method for calculating the fee for fee-paying payment service providers	
...	
(3)	For a <i>fee-paying payment service provider</i> which is required to comply with <i>FEES 4.4.9D</i> (Information on which fees are calculated) and has not done so for this period:
	(a) the fee is calculated using (where relevant) the valuation or valuations of business applicable to the previous period, multiplied by the factor of 1.10; and
	(b) an additional administrative fee of £250 is payable.
	(c) [deleted]

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Part 2AA— Activity groups relevant to firms registered under the <i>Money Laundering Regulations</i>	
Activity Group	Fee payer falls into this activity group if
G.1	it is a <i>firm</i> that is registered under the <i>Money Laundering Regulations</i>

Part 3	
This table indicates the tariff base for each fee-block. The tariff-base is the means by which the <i>FCA</i> measures the amount of business conducted by the <i>fee-paying payment service providers</i> , <i>fee-paying electronic money issuers</i> , <i>CBTL firms</i> , firms registered under the Money Laundering Regulations and issuers of <i>regulated covered bonds</i> .	
Activity Group	Tariff base

G.1	Not applicable
...	
Part 4 – Valuation period	
...	
Activity Group	Valuation date
...	
Where the tariff data of a <i>fee-paying payment services provider</i> or a <i>fee-paying electronic money issuer</i> is in a currency other than sterling, it must be converted into sterling at the exchange rate prevailing on the relevant valuation date.	
G.1	Not applicable
...	
...	

Part 5 - Tariff rates		
Activity group	Fee payable in relation to 2017/18	
G.1	Flat fee (£)	433
G.2	Minimum fee (£)	433 <u>500</u>
	£ million or part £m of Modified Eligible Liabilities (MELS)	Fee (£/£m or part £m of MELS)
	> 100	0.245 <u>0.6456</u>
G.3	Minimum fee (£)	433 <u>500</u>
	£ thousands or part thousand of Relevant Income	Fee (£/£thousand or part £thousand of Relevant Income)
	> 100	0.1647 <u>0.4341</u>

G.4	Flat fee (£)	433 500
G.5	As in G.3	
G.10	Minimum fee (£)	1,626 <u>1,643</u>
	£million or part m of average outstanding electronic money (AOEM)	Fee (£/£m, or part £m of AOEM)
	>5.0	120.00
G.11	Flat fee (£)	1,084 <u>1,095</u>
G.15	Minimum fee for the first registered programme (£)	90,071 <u>89,876</u>
	Minimum fee for all subsequent registered programmes	75% of minimum fee for first registered programme
	£million or part £m of regulated covered bonds issued in the 12 months ending on the valuation date.	Fee (£/£m or part £m of regulated covered bonds issued in the 12 months ending on the valuation date)
	>0.00	10.79 <u>13.27</u>
	...	
G.20	Flat fee (£)	400.00 <u>404.00</u>
G.21	Flat fee (£)	200.00 <u>202.00</u>

		%
		%
		%

		0%
		0%
		0%
		0%

...

4 Annex 14R UKLA periodic fees for the period from 1 April 2017 to 31 March 2018

Part 1 Base fee		
Activity group or invoice code (Note 1)	Description	Base fee payable (£)
E.1	Discontinued	
E.2	Premium listed issuer	5,150 <u>5,200</u>
E.3	Standard listed issuer	19,500 <u>19,695</u>
E.4	Discontinued	
E.5	Discontinued	
E.6	Non-listed issuer (in DTR)	0
E.7	Primary information provider	16,260 <u>16,425</u>
ES.0 1	Sponsor	27,100 <u>27,370</u>

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Part 2 Variable fee additional to base fee		
Activity Group	Market capitalisation as at the last <i>business day</i> of the November prior to the <i>fee-year</i> in which the fee is payable in £million	Fee payable in £per

			£million or £part million
E.2	Premium listed issuer (as described in Part 1)	0 – 100	0
		> 100 – 250	28.616971 <u>28.469627</u>
		> 250 – 1,000	11.446028 <u>10.984421</u>
		> 1,000 – 5,000	7.045501 <u>6.761363</u>
		> 5,000 – 25,000	0.171861 <u>0.164930</u>
		> 25,000	0.055524 <u>0.053284</u>

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5 Financial Ombudsman Service Funding

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5 Annex 1R Annual General Levy Payable in Relation to the Compulsory Jurisdiction for ~~2016/17~~ 2017/18

Introduction: annual budget

1. The *annual budget* for ~~2016/17~~ 2017/18 approved by the FCA is ~~£265m~~ £263.5m.
2. The total amount expected to be raised through the *general levy* in ~~2016/17~~ 2017/18 will be £24.5m.

Compulsory jurisdiction - general levy

Industry block	Tariff base	General levy payable by firm
1-Deposit acceptors, <i>home finance providers, home finance</i>	Number of accounts relevant to the activities in <i>DISP</i> 2.6.1R as at 31 December In the case of <i>dormant account fund</i>	£0.04530 <u>0.04454</u> per relevant account, subject to a minimum levy of

<i>administrators</i> (excluding <i>firms</i> in block 14) and <i>dormant account fund operators</i>	<i>operators</i> , the tariff base is the number of eligible activated accounts (8).	£100
2-Insurers - general (excluding <i>firms</i> in blocks 13 & 15)	Relevant annual gross premium income	£0.1276 0.1268 per £1,000 of relevant annual gross premium income, subject to a minimum levy of £100
3-The <i>Society</i> (of Lloyd's)	Not applicable	£25,989 to be allocated by the <i>Society</i>
4-Insurers - life (excluding <i>firms</i> in block 15)	Relevant adjusted annual gross premium income	£0.01730 per £1,000 of relevant adjusted annual gross premium income, subject to a minimum levy of £130
5. Portfolio managers (including those holding <i>client money/assets</i> and not holding <i>client money/assets</i>)	Flat fee	Levy of £275 <u>230</u>
6. Managers and depositaries of investment funds, and operators of collective investment schemes or pension schemes	Flat fee	Levy of £60
7-Dealers as principal	Flat fee	Levy of £75
8-Advisors, <i>arrangers</i> , dealers or brokers holding and controlling <i>client money</i> and/or assets	Annual income as defined in <i>FEES</i> 4 Annex 11A relating to <i>firm's relevant business</i> .	£0.149 0.150 per £1,000 of annual income subject to a minimum fee of £45

9-Advisors, <i>arrangers</i> , dealers or brokers not holding and controlling <i>client money</i> and/or assets	Annual income as defined in <i>FEES 4 Annex 11A</i> relating to <i>firm's relevant business</i> .	£0.1 <u>0.070</u> per £1,000 of annual income subject to a minimum fee of £45
10-Corporate finance advisers	Flat fee	Levy of £55
11- <i>fee-paying payment service providers</i> (but excluding <i>firms</i> in any other Industry block except Industry block 18)	For <i>authorised payment institutions, electronic money issuers</i> (except for <i>small electronic money institutions</i>), the Post Office Limited, the Bank of England, government departments and local authorities, and <i>EEA authorised payment institutions</i> relevant income as described in <i>FEES 4 Annex 11 Part 3</i>	£0.0007 per £1,000 of relevant income subject to a minimum levy of £75
	For <i>small payment institutions</i> and <i>small electronic money institutions</i> a flat fee	Levy of £35
12-	N/A for 2016/17	
13-Cash plan health providers	Flat fee	Levy of £65
14- <i>Credit unions</i>	Flat fee	Levy of £55
15- <i>Friendly societies</i> whose tax-exempt business represents 95% or more of their total relevant business	Flat fee	Levy of £65
16- <i>Home finance providers, advisers and arrangers</i> (excluding <i>firms</i> in blocks 13, 14 & 15)	Flat fee	Levy of £90
17 - General insurance mediation (excluding <i>firms</i> in blocks 13, 14 & 15)	<i>Annual income</i> (as defined in <i>MIPRU 4.3</i>) relating to <i>firm's relevant business</i>	£0.490 <u>0.471</u> per £1,000 of <i>annual income</i> (as defined in <i>MIPRU 4.3</i>) relating to <i>firm's relevant business</i>

		subject to a minimum levy of £100
18 - <i>fee-paying electronic money issuers</i>	For all <i>fee-paying electronic money issuers</i> except for <i>small electronic money institutions</i> , average outstanding <i>electronic money</i> , as described in FEES 4 Annex 11 Part 3.	£0.0016 <u>0.0007</u> per £1,000 of average outstanding <i>electronic money</i> subject to a minimum levy of £75
	For <i>small electronic money institutions</i> , a flat fee	Levy of £50
19 - <i>Credit-related regulated activities with limited permission</i>	For <i>not-for-profit debt advice bodies</i> , a flat fee	Levy of £0
	For all other <i>firms with limited permission</i> , a flat fee	Levy of £35
20 - <i>Credit-related regulated activities</i>	Annual income as defined in FEES 4 Annex 11BR	Levy of £35 Plus £0.02 <u>0.012</u> per £1,000 of annual income on income above £250,000
21 - <i>CBTL firms that do not have permission to carry out any regulated activities</i>	Flat fee	Levy of £35
22 - <i>designated credit reference agencies (but excluding firms in any other industry block)</i>	Flat fee	{TBC} <u>Levy of £75</u>
23 – <i>designated finance platforms (but excluding firms in any other industry block)</i>	Flat fee	{TBC} <u>Levy of £75</u>

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7 CFEB Levies

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7 Annex 1R CFEB levies for the period from 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018

Part 1

This table shows the *CFEB levies* applicable to each activity group (fee-block)

Activity Group	CFEB levy payable			
A.1	Column 1		Column 2	
	Money advice levy		Debt advice levy	
			(Notes 3 - 6)	
	Band Width (£ million of Modified Eligible Liabilities (MELs))	Fee (£/£m or part m of MELs)	Bandwidth (£ million of unsecured debt)	Fee (£/£m or part £m of unsecured debt)
	>10	2.59 <u>1.172</u>	>0	176.50 <u>174.98</u>
A.2	Column 1		Column 2	
	General levy		Debt advice levy	
			(Notes 5 -6)	
	Band Width (no. of mortgages and/or <i>home finance transactions</i>)	Fee (£/mortgage)	Band width (£million of secured debt)	Fee (£/£m or part £m of secured debt)
	>50	0.63 <u>0.406</u>	>0	15.87 <u>16.50</u>
A.3	Gross premium income (GPI)			
	Band Width (£ million of GPI)		Fee (£/£m or part £m of GPI)	
	>0.5		34.60 <u>20.36</u>	
	PLUS			

	Gross technical liabilities (GTL)	
	Band Width (£ million of GTL)	Fee (£/£m of part £m of GTL)
	>1	1.87 <u>1.10</u>
A.4	Adjusted annual gross premium income (AGPI)	
	Band Width (£ million of AGPI)	Fee (£/£m or part £m of AGPI)
	>1	41.64 <u>29.26</u>
	PLUS	
	Mathematical reserves (MR)	
	Band Width (£ million of MR)	Fee (£/£m or part £m of MR)
	>1	0.89 <u>0.62</u>
A.5	Band Width (£ million of Active Capacity (AC))	Fee ((£/£m or part £m of AC)
	>50	0.00
A.6	Flat levy	0.00
A.7	For class 1(c),(2), (3) and (4) firms:	
	Band Width (£ million of Funds under Management (FuM))	Fee (£/£m of part £m of FuM)
	>10	0.22 <u>0.11</u>
	For class 1(B) firms: the fee calculated as for class 1(C) firms above, less 15%.	
	For class 1(A) firms: the fee calculated as for class 1(C) firms above, less 50%.	
	Class 1(A), (B) and (C) firms are defined in FEES 4 Annex 1A	
A.9	Band Width (£ million of Gross Income (GI))	Fee (£/£m of part £m of GI)
	>1	55.55 <u>65.20</u>
A.10	Band Width (no. of traders)	Fee (£/trader)

	>1	146.00 <u>92.80</u>
A.13	For class (2) firms	
	Band Width (£ thousands of annual income (AI))	Fee (£/£ thousand or part £ thousand of AI)
	>100	0.112 <u>0.068</u>
	For a <i>professional firm</i> in A.13 the fee is calculated as above less 10%.	
A.14	Band Width (£ thousands of annual income (AI))	Fee (£/£ thousand or part £ thousand of AI)
	> 100	0.041 <u>0.0215</u>
A.18	Band Width (£ thousands of Annual Income (AI))	Fee ((£/£ thousand or part £ thousand of AI)
	>100	0.32 <u>0.175</u>
A.19	Band Width (£ thousands of Annual Income (AI))	Fee (£/£ thousand or part £ thousand of AI)
	>100	0.038 <u>0.0294</u>
A.21	Band Width (£ <i>client money</i>) (CM) held	Fee (£/£ millions or part £ million of CM)
	less than £1 million	2.61 <u>1.55</u>
	an amount equal to or greater than £1 million but less than or equal to £1 billion	1.96 <u>1.16</u>
	more than £1 billion	1.31 <u>0.78</u>
	PLUS	
	<i>Safe custody assets</i>	
	Band Width (£ <i>safe custody assets</i>) (CA) held	Fee (£/£ millions or part £ million of CA)
	less than £10 million	0.010 <u>0.006</u>
	an amount equal to or greater than £10 million and less than or equal to £100 billion	0.008 <u>0.005</u>

	more than £100 billion	0.005 <u>0.003</u>
G.3	Minimum fee (£)	10
	£ thousands or part £ thousand of Relevant Income	Fee (£/£thousand or part £ thousand of Relevant Income)
	>100	0.03825 <u>0.0219</u>
G.4	Flat fee (£)	10
G.10	Minimum fee (£)	10
	£ million or part £m of average outstanding electronic money (AOEM)	Fee (£/£m or part £m of AOEM)
	>5.0	11.60 <u>6.65</u>
G.11	Flat fee (£)	10
CC.1	Minimum fee (£)	10
	£ thousand of annual income (AI)	Fee (£/£ thousand or part thousand of AI)
	>250	0.37
CC.2	Minimum fee (£)	10
	£ thousands of annual income (AI)	Fee (£/£ thousand or part £ thousand of AI)
	>250	0.37
...		

10 Pensions guidance levy

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10 Pension guidance levy for the period 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018

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Activity Group	Pensions guidance levy payable	
A.1	Band width (£ million of modified eligible liabilities)	Fee (£/£m or part £m of MELS)

	(MELs)) >10	1.91 <u>1.329</u>
A.4	Band width (£ million of adjusted annual gross premium income (AGPI) >1	Fee (£/£m or part £m of AGPI) 89.96 <u>69.28</u>
A.7	For class 1(B), 1 (C), (2) and (3) firms: Band width (£ million of funds under management (FuM)) >10	Fee (£/£m or part £m of FuM) 0.88 <u>0.55</u>
A.9	Band width (£ million of gross income (GI)) >1	Fee (£/£m or part £m of GI) 299.15 <u>224.35</u>
A.13	Band width (£ thousands of annual income (AI)) >100	Fee (£/£ thousand or part of £ thousand of AI) 0.105 <u>0.074</u>

11 Pensions guidance providers' levy

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11 Annex 1R Pensions guidance providers' levy for the period 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018

The table below shows the *pensions' guidance providers levy* applicable to the *designated guidance providers* for the *fee year* 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018.

(A) Row	(B) Name of designated guidance provider	(C) Pensions guidance providers' levy payable (£)
1	The Pensions Advisory Service Limited	77,500 <u>13,500</u>
2	The National Association of Citizens Advice Bureaux	77,500 <u>13,500</u>
3	The Scottish Association of Citizens Advice Bureaux	77,500 <u>13,500</u>
4	The Northern Ireland Association of Citizens Advice Bureaux	77,500 <u>13,500</u>

5	Any other person designated as a <i>designated guidance provider</i> between 1 April 2016 <u>2017</u> to 31 March 2017 <u>2018</u>	77,500 <u>13,500</u> adjusted in accordance with the formula at <i>FEES</i> 11.2.10R
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13 Illegal money lending levy

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13 Illegal money lending (IML) levy for 2017/18

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Limited permission (fee-block CC1):	£5 flat rate	
Full authorisation (fee-block CC2):	Up to £250,000 consumer credit income: £10	£10
	Over £250,000 consumer credit income:	£10 + the <u>0.202</u> per £1,000

Appendix 1 Unauthorised Mutuals Registration Fees Rules

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App 1 Periodic fees payable for the period 1 April ~~2016~~ 2017 to 31 March ~~2017~~ 2018

Annex 1R

Part 1 Periodic fee payable by Registered Societies (on 30 June ~~2016~~ 2017)

This fee is not payable by a *credit union*.

Transaction	Total assets (£'000s)	Amount payable (£)
Periodic fee	0 to 50	60 <u>65</u>
	> 50 to 100	120 <u>125</u>
	> 100 to 250	195 <u>205</u>
	> 250 to 1,000	255 <u>265</u>

	> 1,000	460 <u>480</u>
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